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AUTHOR Farmer, James A., Jr.; And Others
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ABSTRACT

This document presents a comprehensive evaluation of Title I of the 1965 Higher Education Act in California whose purpose centered around community problem solving and strengthening of community service programs of colleges and universities. Also, the Act provided for continuing educational programs for adults in urban environments, cooperative extension programs, and urban extension programs. The central mission of this evaluation project was to determine to what extent the selection, funding, and implementation of Title I projects in California during the past 5 years have been successful in achieving the national, state, and local objectives set for Title I. The evaluation team found that the Title I Act contains a lack of clarity concerning what kinds of activities are appropriately and legally fundable under Title I. Four major recommendations are made by the evaluation team for developing: (1) more adequate communication between Title I project personnel; (2) more longevity of service for those who have professional expertise in conceptualizing and implementing broad-aim community-oriented educational programs; (3) more effective interinstitutional and intrainstitutional consortial arrangements for Title I programming; and (4) more adequate reporting of the extensive, imputed and verifiable consequences of Title I projects. (HS)

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EVALUATION OF THE TITLE I (HEA, 1965) PROGRAM IN CALIFORNIA, 1966-1971

Developing Community Service and Continuing Education Programs
In
California Higher Education Institutions

JAMES A. FARMER, JR.
PAUL H. SHEATS
J. DAVID DESHLER

A Report Prepared
For The
COORDINATING COUNCIL FOR HIGHER EDUCATION
Council Report 72-4 **May 1972**

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Coordinating Council for Higher Education
State of California
Sacramento, California

Council Report 72-4 May 31, 1972

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FOREWORD

The impetus to initiate a Statewide evaluation of Title I in California came from several sources: the desire expressed by the Council's Title I staff for an outside objective assessment of the program, the concerns of both the Title I Advisory Committee and of the Council members for specific information on the accomplishments of this federal program, and the observation of the Legislative Analyst in his Analysis of the Budget, 1971-72.

With these concerns in mind, the Council staff drew up a Request for Proposal (RFP) in the spring of 1971, with the intent of soliciting from competent researchers in California institutions of higher education proposals for a evaluative study of the Title I program in California from 1966 to 1971. The RFP indicated that $23,500 in Title I program funds would be devoted to this study. On May 4, 1971, the Council approved the RFP, which subsequently was distributed throughout the four segments of higher education in California. Five competitive proposals were received in response to this RFP. Following a careful evaluation of these proposals by the Council staff and the Title I Advisory Committee, the proposal submitted by Dr. James Farmer and Dr. Paul Sheats of the Graduate School of Education, UCLA, was selected for funding.

The RFP set forth the essential details regarding the administration of Title I in California by the Coordinating Council for Higher Education and the need for evaluating this federal program at this point in its history. The primary objectives of the evaluation project were detailed as follows:

> The central mission of the evaluator is to determine to what extent the selection, funding, and implementation of Title I projects in California during the past five years have been successful in achieving the national, State, and local objectives set for Title I. This mission will require at the outset the very difficult task of delineating what the objectives of Title I have been at each level of administration and to what degree these objectives have changed over time. Evaluation will be required at a minimum of three levels of participation: the State level, the institutional level (including both the institutions of higher education and community agencies), and the individual or primary beneficiary level.
>
> At each of these levels of analysis, four general questions will require an answer:
>
> 1. What has been the quality of the effects of Title I?
> 2. What has been the magnitude of the effects of Title I?
> 3. What has been the persistence of the effect of Title I?
> 4. How is the quality, magnitude, and persistence (or lack of persistence) of the effects of Title I related to federal and State administrative policies?
>
> In seeking to answer these questions the evaluator should bear in mind that the social needs toward which Title I is directed are continuing ones which educators, elected officials, and community workers will be grappling with long into the foreseeable future. It is important then to recognize that the product of this evaluative effort must look both backward and forward: backward in its assessment of the results of Title I programs but forward in its translation of this assessment into usable policy alternatives for future action.

In addition to these objectives, the RFP laid particular stress on the development and documentation of a research methodology that would support the credibility of the evaluation findings. The emphasis was a pragmatic one from another standpoint: If the study were deemed successful, the approach might well be adopted for on-going evaluation of the projects funded yearly by the Council staff and could also provide an evaluation model for other states, few of which had as yet progressed to the point of compre-

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hensively assessing their activities under Title I. This latter expectation has already been partially fulfilled, as evident from the requests received from administrators in other states for copies of the report even before the first draft had been completed. Similarly the Continuing Education and Community Service administrators in HEW's Office of Education have persuasively pressed for a presentation of the report at the forthcoming Seventh Annual National Conference on Community Service and Continuing Education.

The Director and Dr. Russell Riese, head of the Staff Section on Academic Plans and Programs under which Title I is located administratively; Dr. William K. Haldeman, Title I Coordinator; and the Title I staff, express their sincere appreciation and commend UCLA and the authors of this report for their objective and comprehensive evaluation of Title I, HEA, in California.

Owen Albert Knorr
Director

ABOUT THE AUTHORS

(1) James A. Farmer, Jr. (Principal Investigator) -- James Farmer received his B.A. from Hamilton College and his M.A. and the Ed.D. degrees from Columbia University in Higher and Adult Education, with a specialization in Adult Education. Before coming to UCLA, he was an administrator for the Center for Community Education, Teachers College, Columbia University, a project funded by the Ford Foundation through Columbia University's Urban Center. Since 1969 he has been an Assistant Professor of Adult Education in the Graduate School of Education, UCLA. During 1970-1971, he has headed the the Western AMIDS Evaluation Project, funded by the United States Office of Education, Bureau of Adult, Vocational, and Library Programs, Division of Manpower Development and Training and the California State Department of Education, Bureau of Industrial Education through the Division of Vocational Education, the University of California, Los Angeles.

The UCLA graduate courses taught by Dr. Farmer include: (a) "Seminar: Research in Adult, Vocational and Technical Education"; (b) "Overview of Adult Education;" and (c) "Instruction and Group Process in Adult Education." He was elected by the faculty of the Graduate School of Education, UCLA to be a member of its Educational Policies Committee (1970-1971) and to be the Chairman of the Graduate School of Education (1970-1971). He is currently Chairman of the Research Commission of the Adult Education Association of the U.S.A. and an Associate Editor of Adult Leadership.

(2) Paul H. Sheats (Co-Principal Investigator) -- Paul H. Sheats joined the University of California in 1946 as Associate Director and second-ranking officer of University of California Extension. In 1957, he became Director of University Extension, and in 1958 was named University-wide Dean of Extension. He also is a Professor of Education at UCLA.

Before coming to the University, Dr. Sheats was Education Director of Town Hall in New York. During World War II, he served as Head of the Adult Education Section of the Office of War Information. He has been Assistant Professor of Education at the University of Wisconsin; Instructor of Education at Yale University; and Instructor in Government at New York State College for Teachers.

A member of many scholarly societies, Dr. Sheats is past president of both the National University Extension Association and the Adult Education Association of the U.S.A. He was appointed to the Adult Education Committee of the Master Plan Survey Team which acted as architects for the Master Plan for Higher Education in California. For six years, Dr. Sheats served on the UNESCO National Commission, and he was a member of President Kennedy's Panel of Consultants on Vocational Education. He is currently a Senior Consultant for the Adult Basic Education Project, Southern Regional Education Board, Atlanta.

Born in Tiffin, Ohio, December 5, 1907, Dr. Sheats received his A.B. degree from Heidelberg College, Tiffin, Ohio, his M.A. from Columbia University, and Ph.D. from Yale in 1936. He also holds an honorary LL.D. from Akron University.

Dr. Sheats is the author of several books, including Adult Education: The Community Approach (Sheats, Spence, and Jayne, 1953). One of the graduate seminars in Adult Education which he teaches at UCLA is entitled: "Community Development Programs in the U.S.: Scope, Related Research, and Field Observation."

(3) John David Deshler (Research Assistant) -- Mr. Deshler received his B.A. from Whittier College. He is currently a graduate student, majoring in Adult Education and minoring in Higher Education and Behavioral Science at UCLA. He has been a member (1967-1970) of the Board of Directors of the Pasadena Commission on Human Need and Opportunity, a local C.A.P. program of O.E.O. He also served as Chairman of the Education Committee for E.S.E.A. programs for the Pasadena Unified School District.

William K. Haldeman,
State Coordinator,
Title I (HEA)

PREFACE

This prefatory statement was prepared by the members of the evaluation team after the first draft of the manuscript was critiqued by a panel of authorities on adult and continuing education who have special expertise in Title I including community service and community problem solving programs. A number of changes in the format and content of the evaluation report resulted from the suggestions made in these critiques.

As had been anticipated, there were some matters concerning the interpretation of the data and issues involving the methodology employed in the study on which the experts differed among themselves, It is primarily with reference to these issues that this section has been added to the manuscript. Hopefully, other readers of the report, whether lay or professional, may be aided by this addendum to understand more clearly some of the parameters and preconditions which dictated and limited the scope of the study.

First, comments should be made as to the relative emphasis in the study on theory and methodology as opposed to the presentation of quantifiable data on project successes and failures.

The Request for Proposals (RFP) recognized that a five-year evaluation study of Title I programs in the State of California could not undertake a project-by-project analysis and comparative assessment because of (a) the limited funds available for the study and (b) the ex post facto nature of the study. Moreover, previous efforts to measure quantitatively the persons involved, the agencies and target populations reached, and the community problems solved had been found to be of limited value in suggesting guidelines for more effective administration and programming of Title I projects. The RFP for this study specified a forward-looking thrust to the effort with heavy emphasis on theoretical and methodological considerations. The design for the study and its methodological base as outlined in detail in Chapter II represents an inductive approach to theory building for evaluation of broad-aim educational programs. To the extent that the report achieves this objective it has important implications not only for Title I but for all community-related adult education programs.

The continuing in-process effort throughout the study to engage Title I national, State, and project staff in formulating and reformulating the objectives of the evaluative effort reinforced the need for theoretical and methodological outputs.

Second, the members of the evaluation team never perceived their role as that of public relations consultants and went to some pains to preserve objectivity in the assesment of the incoming data. The fact that this evaluation report is positive reflects the situations and circumstances which the evaluation team found when project reports and files were examined and when extensive interviewing of persons from target populations, agencies, and higher education institutions was conducted. The data from the files and interviews in the field include many impressive imputed, and in some cases verified, positive consequences. These consequences are reported in Chapter IV in conjunction with the different models which have been identified throughout the evaluation. Each model is descriptive of the different ways that higher education institutions in the State implemented the release of educational resources to assist community problem solvers. Findings related to strengths and limitations of each model are also included.

Third, in the light of comments from several members of the panel of consultants, it should be kept in mind that this is a California, not a national study. While it might be argued that the problems arising in the administration of Title I projects in California represent, in microcosm, the difficulties in the country as a whole, this report makes no effort to justify such a conclusion.*

Fourth, the range of consultant reactions to the first draft of this report reinforces the belief of the evaluation team that confusion as to what Title I was intended to accomplish has made both administration of the Act and evaluation by precise performance criteria difficult.

It has been our assumption that the key work in the enabling legislation is "educational." Institutions of higher learning can educationally assist in the solution of community problems without assuming an advocacy role in so doing (See Chapter III).

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*For an excellent review of the national picture see the unpublished dissertation "Title I of the Higher Education Act: Its Promise and Performance" by Leonard P. Oliver for the Department of Education, The University of Chicago, 1970.

To program or evaluate Title I exclusively in terms of specific problems solved would, in our view, be both a distortion of the "intent" of the Act and a prostitution of a college's or university's educational function. The report which follows is designed to make this distinction between "education" and "advocacy" clear and, more importantly, to conceptualize a system within which Title I can be implemented and evaluated.

Acknowledgments

An essential ingredient in carrying out the evaluation study has been the in-process consultation with the staff of the Coordinating Council for Higher Education. Dr. Russel L. Riese, Chief Higher Education Specialist, and Dr. William K. Haldeman, State Coordinator for Title I, (HEA) and the other staff members of the Coordinating Council for Higher Education have given assistance to the project during the course of its development. They have provided access to documents and background material and introductions to key administrators and personnel related to the functioning of Title I in the State of California.

In addition, valuable counsel and feedback were provided by the State Advisory Committee for Title I, the Survey Research Center at the University of California, Los Angeles, and the national Title I staff.

The evaluation team wishes to acknowledge the valuable assistance of local Title I project directors during and following the Title I Evaluation Workshop which was held as a part of the evaluation effort. The field interview phase of the

evaluation could not have taken place adequately without the helpful cooperation and arrangements which these project directors made for the site visitations.

The evaluation team and the staff of the Coordinating Council for Higher Education especially want to express their appreciation, to all who were interviewed. The interviewees' concern, dedication and willingness to share out of the richness of their experience in working with Title I projects not only made the study fascinating but very productive in illuminating the emergent understanding of models, concepts and conclusions which are the primary outcomes of the evaluation.

We would like to thank Thomas E. Backer (Human Interaction Research Institute), Cyril O. Houle (The University of Chicago), Malcolm S. Knowles (Boston University), Alan B. Knox (University of Illinois), Jules Pagano (Florida International University), Robert J. Pitchell (Executive Director, National University Extension Association), and Richard M. Thomas (Southern Illinois University), who provided cousel in the design of the evaluation project. Further, their critical reading of the preliminary draft of the report was an immense help in identifying aspects in need of clarification, revision or expansion. The encouragement which William Evensen (University of California, Los Angeles) and Paul W. Purdy (University of California, Los Angeles) gave to the project while serving on the project's Advisory Committee has been much appreciated.

The several versions of the report were efficiently and insightfully typed by Debra Robbins, Barbara Okolski, and Vicki Nock. We are also grateful for editorial assistance in the final draft of the report from Fran Gilbert.

The help of all these persons is appreciated. Nevertheless, the responsibility for the final manuscript remains with the authors.

CHAPTER I

INTRODUCTION

The effort to secure federal funding for continuing education programs in institutions of higher learning has had a long if relatively unproductive history. "As early as 1940, under the auspices of the National University Extension Association (NUEA), a bill was introduced in Congress for the purpose of securing federal support for general extension activities on a basis similar to that already accorded agriculture but on a much more modest scale."[1] Sporadically throughout the period between 1940 and 1965, both the NUEA and the Association of State Universities and Land Grant Colleges and its Division of General Extension included federal support for general extension within their respective legislative programs.

It is important to note that the legislation proposed and introduced by various members of Congress, in both the House and Senate, at the urging of these national organizations was designed consistently to strengthen general extension in state universities and land-grant colleges. These were the institutions which, under the terms of the Smith-Lever Act of 1914, were to "aid in diffusing among the people useful and practical information relating to agriculture and home economics, and to encourage its application."

---

[1] From testimony presented by E.A. Lowe, Associate Director of the Georgia Center for Continuing Education, University of Georgia, before a Subcommittee of the House Committee on Education and Labor in 1958. This testimony appears in Proceedings of the 43rd Annual Meeting of the National University Extension Association (Washington, D.C., 1951, p. 81).

There seems little doubt that, as originally conceived by the Johnson administration, Title I would make possible the creation of an urban extension service modeled on the demonstrated success of cooperative extension and thus release the resources of land-grant institutions for application to the solution of urban problems. President Johnson, in a dedicating address on the Irvine Campus of the University of California on June 20, 1964, said: "I foresee the day when an Urban Extension Service operated by universities across the country will do for America what the Agricultural Extension Service has done for rural America."

A task force headed by John W. Gardner, then President of the Carnegie Corporation of New York, made its report to President Johnson on November 14, 1964. On the basis of that report, the White House Staff prepared a memorandum for Mr. Johnson outlining a proposed legislative program for education. This program included a community extension service that would provide federal support for university extension activities in urban areas. "The memorandum indicated that this last program was of a special interest of Mr. Johnson's."[2]

Title I of the Higher Education Act of 1965 certainly reflected Mr. Johnson's interest, but the final product which emerged from the legislative process bore little resemblance to either the proposals of the higher education bodies, which for twenty-five years had exerted political pressure for federal support of continuing education, or to the concept of replicating the agricultural extension system for urban America advanced by the President himself.

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[2] As reported in The Chronicle of Higher Education (Washington, D.C., 1972, p. 2). This issue features the release of Lyndon Johnson's Higher Education Papers including the two documents referred to above.

Oliver, in a comprehensive dissertation covering Title I's origins and performance, reached the following conclusions from the historical phase of his study:

> Although it would appear from Title I's statement of purpose that two fundamental viewpoints are embodied in the act (i.e., community problem solving and strengthening of community service programs of colleges and universities), the evidence from the historical phase of this study indicates that at least seven viewpoints towards federal aid for higher adult education were present during this period. These viewpoints emerge from the statements and testimony of witnesses in the congressional hearings, in comments and questions of legislators on the floor of each house, and in various committee reports. They include:
>
> Viewpoints Centering on the Role of Extension
>
> > Cooperative Extension Viewpoint: Recognize the contributions of the Cooperative Extension Service, support its evolving role in the nation's urban areas, and avoid duplicating of and overlapping with its extensive statewide structures and services.
> >
> > General Extension Viewpoint: Provide support for the general extension programs of the land-grant colleges and state universites which have served the continuing education needs of adults throughout each state, largely on a self-supporting basis.
> >
> > Urban Extension Viewpoint: Establish an urban extension service, complementing the program of cooperative extension in rural and small town areas, to extend the skills and resources of the large public universities to urbanized areas in each state.
>
> A Viewpoint Centering on the Community
>
> > Community Problem Solving Viewpoint: Provide categori-

cal aid to meet the pressing social and economic problems of America's communities, particularly in urban-inner city areas; the nation's colleges and universities are among the many societal institutions and organizations that can contribute their resources to this effort.

A Balanced Viewpoint

Comprehensive Viewpoint: Since communities face massive social and economic problems, and since colleges and universities lack full commitment and capabilities to deal with these concerns, provide federal aid to begin to strengthen institutional resources and to begin to meet these problems without choosing to concentrate on one or the other thrust for they are mutually reinforcing.

Other Viewpoints

Special Interest Viewpoints: The concept of federal aid for higher adult education is sound, but special recognition is requested for the continuing educational needs of our institutions (e.g., workers, professionals) under the terms of the act.

Viewpoints Presenting Challenges: Either a) the concept of federal aid for higher adult education is sound, but more would be accomplished if we altered our approach (e.g., by establishing urban study centers, or reducing the matching requirement, or setting aside some of the money for experimental and pilot projects; or b) the basic educational system of the country is in serious trouble, and the federal government should not be concerned about supporting service activities of colleges and universities--either for continuing education or for problem solving.

From the language of the Title I legislation, it might appear that the comprehensive viewpoint described above prevailed. The history of Title I as it is found in the primary congressional sources used in this study reveals that the comprehensive viewpoint was never accepted by the legislators. Title I was more the result of a political compromise between the House and Senate conferees which appeared to reconcile several conflicting viewpoints than a conscious design by the Congress to create a balanced and flexible program for community problem solving (Oliver, 1970, pp. 10-12).

Nevertheless, Title I of the Higher Education Act of 1965 (PL89-329), as finally passed, represented a major breakthrough in achieving federal support of higher adult education (A copy of the Act and Regulations for the Act appear in Appendices III and IV). Title I committed federal support at the 75% level to the attainment of these two objectives:

1. to help people solve community problems
2. to strengthen and improve community service and continuing education programs in institutions of higher education.

The Act called for 54 "state" plans, each of which must "set forth a comprehensive, coordinated, and statewide system of community service programs." (Sec. 105 (a) (2)) "Community service programs" are defined in the Act as being limited by law to educational programs designed to assist in the solution of community problems.

The lack of clarity, however, on the part of Congress in writing the legislation and on the part of higher education institutions participating in the program, concerning what kind of community development activities or community service activities were and are appropriately (and legally) fundable under Title I, has been a potential source of difficulty both in programming Title I projects and in evaluating them.

Sources of Potential Confusion

It must be kept in mind that the political compromises which grew out of the conflicting objectives which preceeded the passage of the Act constituted potential sources of confusion for those charged with its administration or implementation. In spite of herculean efforts of the U. S. Office of Education and the National Title I Advisory Committee to clarify the intent of the Act for operational purposes, considerable latitude remained for state agencies and local project directors to place their own interpretations on the congressional intent behind Title I. The evaluation team found that local Title I project directors and the administrators to whom they related in the higher education institutions needed to think through the relationship between the intent of the Act and each of the following: (1) the agricultural extension model; (2) community development; (3) community services in community colleges; and (4) public service in higher education institutions in general.

(1) The Agricultural Extension Model

It might have been a relatively easy matter to implement Title I with impressive results if all that was needed was the transfer of the agricultural extension model from rural to urban settings. Certainly the record of achievement in successfully applying research in the Experimental Stations and in the Departments of Agriculture to agricultural production was phenomenal. Problems were solved, new and innovative practices were adopted, and technical as well as behavioral changes in the rural community did occur. The shift from concentration on increasing the per acre yield of cotton to reducing interracial strife, however, was immensely complicated by the sociological and economic variables which forestalled easy decisions or simple answers. Miller expressed the following caution:

> The experience of the state university with successful agricultural development, especially with land-grant institutions, may have instilled a premature confidence that the problems of the urban industrial community will lend themselves to similar facility. But revi-

> talizing community attitudes for change differs substantially from the upgrading of management skill, especially when the object of this past experience--the family farm--is at once an intimate social group and a unit of labor and management organization. Instead, the issues which emerge today from the metropolitan community will demand aggressive experiments in institutional reform which go far beyond the direct application of technology in a single unit approach. Proceeding with such experiments lies ahead for the agencies of government and the universities (Miller, 1965, p. 9).

Clearly, more than adoption or adaptation of the agricultural extension model was required to effectively implement Title I. In addition it should be noted that the 1966 national funding level was approximately 9.5 million dollars. This was a relatively small amount in contrast with in excess of 260 million dollars of annual funding reported in 1966 for the Cooperative Extension Service (Federal Support..., 1966). At those levels of funding, Cooperative Extension was receiving approximately 27 times the amount of funds appropriated for Title I.

(2) Community Development:

"Community service programs" in the experience of many higher adult education administrators meant what in Extension experience and practice is called "community development." The work of Brownell (1950) in Montana and the pioneering efforts of Poston (1950) as founder and director of the community development services at both the University of Washington and Southern Illinois University, along with the writings of many others, contributed not only theory building but also models of successful practice in community development.

Throughout the period of experimentation and testing of community development in predominantly rural communities there was consensus that community development was an educational process designed to help adults in a community solve their problems by group decision making and group action. All of the community development models involved extensive citizen participation and skill training in problem solving. In the case of higher education institution sponsored programs there was clear agreement that decisions concerning action goals and implementation were the sole prerogative of the citizen participants and that the higher education institution inputs were facilitative rather than deterministic. In many ways Title I seemed to be calling for community development.

However, community development was not perceived as universally identical with "community service," a primary term in the Title I Act. At least one author has contrasted these terms as follows: "Universities, churches, libraries, etc. may offer such services as lectures, concerts, tutoring, research and advice, but these admirable helps to citizens and organizations are not community development" (Biddle, 1965). It may be argued that in Biddle's view "services" per se lack the vital ingredients of problem definition and skill training in facilitative behavioral roles as well as in problem solving. In any case, the task of conceptualizing, planning, implementing, and evaluating Title I projects is made difficult because of the apparent or actual lack of clarity in the meaning of some of its terms and, consequently, of its intent. The mix of community development themes with community service themes contributed to ambiguity in interpreting the intent of Title I.

(3) Community Services in Community Colleges:

Meanwhile, a phenomenal growth of junior colleges throughout the U.S., both immediately before and since the passage of Title I, further complicated the picture. Myran (1969, p. 26) identified over 700 colleges with community service programs and described five structures or forms through which community services are provided. It is significant that only one of these (Myran calls it the "community specialist pattern") comes close to describing the educational process defined above or the definition of community service as given in Title I.

(4) Public Service in Higher Education Institutions:

There was an additional "hidden agenda" item. Most, if not all, directors or deans of continuing education services were responsible to a divided constituency--their faculties. The issue was between those who sought to make the university or the college more "relevant" and those who wished to protect the traditional role of the institution as a breeder of new knowledge and as protectors of the Third World of Scholarship. These contrasting positions are dramatized in the two quotes below. One constituency was not about to abandon its tents in support of public service, which, it is assumed, would include community service. An expression of such a position follows:

> If the road to hell is paved with good intentions in education as elsewhere, then there is nowhere better paving material than in the concept of Public Service. In the sixteen years since I joined this faculty I have heard more bad educational policy justified in the name of Public Service than by any other invocation, human or divine. But again, I do not need to alert anyone here

> to the loud promise of mediocrity inherent in such notions as of the University as 'servant' to industry or indeed even as servant to the State (Muscatine, 1964).

A more objective view of the issue is contained in the *Proceedings of the University of California's Twenty-fifth All-University Faculty Conference*, March 25-27, University of California, Davis:

> Clearly, the University is not in a position to actually solve any of the critical problems facing our society. Its role must be to inform decision makers and the general public about the existence of problems which need solutions and to recommend alternative ways of dealing with them. Improvements can be brought about only through the action of those public and private decision makers who are vested with the authority and the responsibility to act.
>
> The consequences of inaction may be far more serious to the University than those of failure. If the University ignores or gives only minimal support in terms of its resources to the needs of the larger community, it risks through such insularity an increasing alienation from that community and the eventual withdrawal of public sympathy and support for those intellectual values held by the academic community in our society (p. 30).

In short, it would seem that Title I, with its emphasis on "Community Service and Continuing Education," is related to but not to be confused with the agriculture extension model, community development, community activities in community colleges, or with public service. Effective implementation of Title I would utilize aspects of some or all of these concepts but would, in most instances it is assumed, not be merely a matter of replicating any *per se*.

Initial Difficulties in Implementing Title I

Acting responsibly within the intent of the Title I Act, at least initially, was far from easy. After examining evidence of ways in which Title I projects in the nation were implemented, D. Mack Easton, then Dean of University Extension at the University of Colorado, identified some of the difficulties as follows:

> I think it is fair to say that the development of service units designed to serve the whole community is only in its pioneering stage in American universities. The kind of man who can assist the members of a community to identify the community's problems, to make judgments on priorities, to bring to bear on those problems the analytical skills, special know-how, planning ability and leadership skills (whether available in the community or brought in from the outside) necessary to deal with the problems--this kind of man is in very short supply, in the judgment of some of us who have held key positions in our national organizations. Yet, without this kind of social catalyst, Title I will inevitably lead to the development of discrete community services, not necessarily attacking the most important problems of communities at all (Proceedings..., 1967, p. 71).

Easton's statement was reformulated for use in evaluating California's Title I projects between 1966-1971 in the form of the following hypothetical question:

> In what ways and to what extent were the California Title I projects during 1966-1971 able to transcend such difficulties in accomplishing, in their own ways, for "community problem solving" and particularly urban and suburban community problem solving what Agricultural Extension Service had done for rural America?

Administration and Funding of Title I Projects in California

Within California the designation of the Coordinating Council for Higher Education as the responsible agency for the administration of the Title I program was a natural and logical outcome of interinstitutional cooperation in higher adult education which began in 1944, antedating the creation of CCHE. A State Advisory Committee on Adult Education with staff support from the Coordinating Council provided machinery for ready adaptation to the requirements of Title I and, in modified form, exists today as advisory to the Council on Title I administration.

Approximately two years ago the Coordinating Council Staff was reorganized by the Director. This reorganization placed Title I in the Council's staff section on Academic Plans and Programs. This close coupling between academic programs and Title I appears to have been a valuable change.

Statistical data on the number of proposals submitted and funded for 1966-1971 along with data concerning the extent of funding for each year are presented in Table 1:

TABLE 1

NUMBER OF TITLE I PROPOSALS SUBMITTED AND FUNDED AS WELL AS A SUMMARY OF THE EXTENT AND SOURCE OF THE FUNDING ACCORDING TO YEAR

1966-1971

Fiscal Year	Proposals Submitted	Projects Funded	Federal Funds	Total Project Cost	Matching Federal - State
1965-66	68	20	$ 544,322	$ 769,893	75% - 25%
1966-67	40	15	521,923	724,009	75% - 25%
1967-68	28	28	504,134	1,091,358	50% - 50%
1968-69	40	18	478,416	744,019	66 2/3% - 33 1/3%
1969-70	56	15	475,074	794,671	66 2/3% - 33 1/3%
Totals	232	96	$2,523,869	$4,123,950	

Statistical data on the extent of funding and the number of projects developed by institution and type of institution are presented in Table 2:

TABLE 2

EXTENT OF FUNDING AND NUMBER OF PROJECTS ACCORDING TO INSTITUTION AND TYPE OF INSTITUTION

1966-1971

Institution	Federal Grants Allocated to Individual Institutions	Number of Projects
Community Colleges		
Compton	$ 26,667.00	1
East Los Angeles	44,997.00	1
Los Angeles City	139,221,99	4
Los Angeles Trade Tech	18,405.00	1
Merced	31,596.00	2
Palomar	5,950.94	1
Peralta District	9,000.00	1
San Diego	37,500.00	1
College of San Mateo	7,500.00	1
Totals	$ 320,837.93	13
State Colleges		
Chico	$ 262,317.00	4
Dominguez Hills	15,000.00	1
Fresno	30,791.00	2
Fullerton	47,593.19	3
Humboldt	215,397.42	5
Long Beach	20,549.00	1
Los Angeles	156,254.00	2
Poly-San Luis Obispo	6,951.56	1
Sacramento	45,373.64	2
San Diego	96,465.00	3
San Fernando Valley	192,703.00	4
San Francisco	178,388.00	4
San Jose	5,615.00	1
Totals	$ 1,273,347.81	33
Private Colleges		
Redlands	$ 16,212.00	1
University of Southern California	183,549.79	8
University of San Diego College for Women	76,981.00	1
U.S. International University	35,041.00	1
Totals	$ 311,783.79	11

TABLE 2 (continued)

University of California

Fiscal Year		Federal Funds Allocated Campus-Wide	Federal Grants to Individual Institution	No. of Projects
1965-66	University of California, Extension	$ 111,455		8
	University of California Agriculture Extension		$ 39,169	1
1966-67	University of California Extension	192,019		8
1967-68	University of California, Extension	151,928		8
	University of California Agriculture Extension		10,212	1
1968-69	UC Berkeley, Extension		34,308	1
	UC Davis, Extension		30,062	1
	UC Irvine, Extension		29,339	1
	UCLA, Extension		40,136	1
	UC San Diego, Extension		48,984	2
	UC Santa Cruz, Extension		28,013	1
1969-70	UC Santa Cruz, Extension		50,447	2
	UC Davis, Extension		33,000	1
	UCLA, Extension		45,508	1
	UC Riverside, Extension		26,886	1
	UC Irvine, Extension		16,591	1
	San Francisco		--	--
Totals		$ 455,302	$ 432,655	39

It should be noted in interpreting this statistical summary that allocations to the University of California between 1966 and 1970 were administered by the University-wide Office of University Extension and include projects involving all nine campuses of the University. In addition, one project was approved for funding under the jurisdiction of the Agricultural Extension

Service of the University of California. Although CCHE does not list the University of California, San Francisco, as having received funds, the University of California reported its activities as part of their overall Title I activities. The current evaluation included it, bringing to 97 the total number of projects evaluated.

The statistical summary does not, of course, reflect the changing guidelines for submission of proposals during the 1966-71 period. These guidelines annually reflect changing environmental pressures within institutions of higher learning and within the State of California and its communities.

With the passage of the Higher Education Act of 1965, California moved quickly through amendment of the Education Code to establish the Coordinating Council for Higher Education as the State Agency charged with responsibility for the administration of the Act.

The years 1966-1971 in California were socially and politically turbulent. The civil rights movement, the emergence of ethnic identity, the increase of campus activism of students, and the political polarization between the New Left and Radical Right, along with the tightening of financial resources in higher education institutions combined with negative public relations from campus demonstrations, provided in varying degrees the environmental climate for Title I projects.

The "State Plan" issued August 23, 1966, invited proposals having relevance to one of the three problem areas identified in priority order as:

1. Urban and Suburban Community Development and Personnel Training
    - (a) Intergovernmental relations, including higher education activities within the community.
    - (b) Land use and transportation planning, including all aspects of environmental quality, urban design and beautification.
    - (c) Citizen and government official education and Suburban Community Development and Personnel Training.
    - (d) Economic Development.

2. Disadvantaged Groups
    - (a) Economic Opportunity.
    - (b) Education, including communication and leadership skills.
    - (c) Housing and human relations.
    - (d) Cultural development.

3. Rural Environment and Interrelationships with Urban Areas
    - (a) Land use, including but not limited to urban encroachment upon rural areas, and agriculture in an urbanizing society.
    - (b) Education in isolated areas.

The 1967 "amendments to the State Plan" reduced the scope of the problem areas to which new proposals should be directed but reflected no radical redirection of priorities:

1. Urban and Suburban Community Development and Personnel Training
    - (a) Community master planning.
    - (b) Land use planning, design and beautification, and air and water pollution.
    - (c) Economic development.

2. Disadvantaged Persons
    - (a) Economic, social and cultural opportunities.
    - (b) Education, including leadership training and problems in isolated areas.
    - (c) Housing.

By 1968 the Report of the National Advisory Commission on Civil Disorders had dramatized, as did the Watts outbreak for Californians, the serious nature of the urban crisis. All segments of higher education were, of course, responding to the urgency of these environmental pressures.[3] The State plan for 1968-1969, therefore, concentrated a single, albeit broadly defined, problem area--"The Quality of Life in Ghetto Communities." Projects funded ranged from recruitment and training of paraprofessionals to consumer education in a disadvantaged community. With a reduction in federal funds available, only eleven out of 39 proposals were approved.

The 1969-70 State Plan concentrated on the problems of poverty and race relations. It was viewed as a logical extension of the 1968-1969 focus on the ghetto. Special emphasis was placed on consortial relationships which might serve to integrate the resources of several institutions.

Noteworthy also in the 1969-70 statement are two major contributions to the development of a conceptual framework suitable for Title I administration: (1) the need for more attention to the process of problem solving; and (2) the long-range goal of building institutional capability for this task.

The 1970-71 State Plan continued to focus on poverty and race relations as in 1969-70 and repeated the emphasis as noted above on problem solving and institutional capability. While outside the scope of this evaluation, it is important to note that the 1971-72 State Plan proposed as its major focus "organizational development" which "implies concerted efforts to find ways to improve the effectiveness of an existing organization." This emphasis is a logical extension of the concern for improving institutional capability as expressly noted in both the 1969-70 and 1970-71 State Plans.

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[3] See, for example, Charles J. Hitch, "Institutional Redirection to Deal with the Urban Crisis", an address at the All-University Faculty Conference, Riverside, March 25, 1969, for a discussion of the University's role in this issue.

Paralleling these changes reflected in the State guidelines was a new trend generated at the national level. Referring to 1970 as a transitional year, the National Advisory Council on Extension and Continuing Education characterized this trend as a "primary thrust to get more institutional commitment to long-range community service" and "to provide more relevant participation in community problem solving service for its faculty and students" (Report..., March, 1971, p. 14). These national priorities were consistent with the new guidelines in the State Plan of the California Coordinating Council for Higher Education, which put emphasis on both of the following intents of the Title I Act:

1. to help people solve community problems
2. to strengthen and improve community service and continuing education programs of institutions of higher education.

The extent to which both of these emphases have been appropriately implemented and the nature of their consequences were the main concerns of the Project to Evaluate the California Title I Projects, 1966-1971. This five-year evaluation was recommended by the Title I Advisory Committee on April 2, 1971, and approved by the Coordinating Council for Higher Education on May 4, 1971. It should be noted that such an evaluation was also recommended by the Legislative Analyst and had support from the U.S. Office of Education.

Summary

Title I of the Higher Education Act, funded by Congress in 1965, put emphasis on helping people solve community problems and on helping to strengthen and improve community service and continuing education programs of institutions of higher education. There has been a lack of clarity, both on the part of Congress in writing the legislation and on the part of higher education institutions participating in the program, concerning what kind of community development or community service activities were and are appropriately fundable under Title I. Sources of potential confusion have come from differing interpretations of the congressional intent of the Act in relationship to: (1) the agricultural extension model; (2) community development theory and practice; (3) community services in community colleges; and (4) public service in higher education institutions in general. Implementing the Title I Act called for special leadership having analytical and planning skills as well as the ability to pioneer in the development of structures which could relate higher education resources to those seeking to address community problems.

Within California, the Coordinating Council for Higher Education was designated as the responsible agency for implementing the Title I Act. Between the years 1966-1971 over $2,500,000 of federal funds along with almost $2,000,000 matching funds have been allocated to 36 institutions of higher education in the State implementing 97 specific Title I projects.

This five year evaluation approved by the Coordinating Council for Higher Education is addressing the following hypothetical question: In what ways and to what extent were the California Title I projects during 1966-1971 able to transcend the difficulties of interpreting and implementing the Act and, in their own ways, to accomplish in urban and suburban communities what Agricultural Extension Service has done for rural America?

CHAPTER II

FINDINGS: A METHODOLOGY FOR EVALUATING TITLE I PROGRAMMING

As interpreted by the evaluation team, the Request for Proposal called for evaluative fact-finding methods which were objective, systematic, and comprehensive. The Request for Proposal and the nature of the Title I projects themselves narrowed the possibilities of how such an evaluation could appropriately be undertaken. The need for the evaluation, the primary objectives of the Evaluation Project, and the specifications of methodology were described in the Request for Proposal as follows:

> The Need for Evaluation
>
> The funding of institutional community service projects has been carried out over the past five years without adequate assessment of the magnitude or persistence of the effects of the Title I programs upon either the State in general or, more specifically, upon the institutions and their communities. Neither the quarterly progress report nor the self-evaluative final report from the funded institution, nor yet the on-site visit by the Title I administrator is sufficient in itself or in combination to provide an objective measure of the benefits of this federal program.
>
> The nature of the changes in the institution and in its community as a result of the Title I program, the persistence of these changes, and the validity of these changes with respect to the community's expressed needs are best discovered through the careful scrutiny of an outside observer.
>
> The Council staff has on various occasions expressed its desire for an objective evaluation of Title I. In recent meetings with the staff, the Title I Advisory Committee and consultants concurred with staff plans and encouraged them to proceed. The Council has also made known its interest in better information about the federal programs administered under its auspices.
>
> In his Analysis of the Budget, 1971-72, the Legislative Analyst expressed the same concerns when he observed

> "... that neither the Federal Office nor the CCHE has given critical published evaluation to the program... The CCHE staff has knowledge of each project and on an informal evaluation can justify the projects, particularly since they have been vigorously screened before funding...Despite the formal assurance, we believe that formal evaluations should be encouraged, perhaps through the use of federal funds administered."

The lack of Statewide evaluation of the Title I program, a lack which exists not only in California but nationally, has prolonged the unfortunate situation in which Title I administrative personnel have been forced to continue making decisions without the benefit of sufficient feedback as to the adequacy of their decision-making criteria. The general scarcity of appropriate models for conducting such an evaluative effort, while it may complicate the task, argues for the development of a procedure which both can deliver a credible assessment of the past performance of Title I projects in California and can serve as a guide for future examinations of the effectiveness of the wide variety of projects funded in California.

PRIMARY OBJECTIVES OF THE EVALUATION PROJECT

The central mission of the evaluator is to determine to what extent the selection, funding, and implementation of Title I projects in California during the past five years have been successful in achieving the national, State, and local objectives set for Title I. This mission will require at the outset the very difficult task of delineating what the objectives of Title I have been at each level of administration and to what degree these objectives have changed over time.

Evaluation will be required at a minimum of three levels of participation: the State level, the institutional level (including both the institutions of higher education and community agencies), and the individual or primary beneficiary level.

At each of these levels of analysis, four general questions will require an answer:

1. What has been the quality of the effects of Title I?
2. What has been the magnitude of the effects of Title I?
3. What has been the persistence of the effects of Title I?
4. How is the quality, magnitude, and persistence (or lack of persistence) of the effects of Title I related to federal and State administrative policies?

In seeking to answer these questions the evaluator should bear in mind that the social needs toward which Title I is directed are continuing ones which educators, elected officials, and community workers will be grappling with long into the forseeable future. It is important then to recognize that the product of this evaluative effort must look both backward and forward: backward in its assesment of the results of Title I programs but forward in its translation of this assessment into useable policy alternatives for future action.

METHODOLOGY

A. Research Design

The nature of the Title I program in California, characterized as it is by sixty-eight small and diverse social action projects, demands an imaginative research methodology. It is doubtful that the classic control-groups design will be feasible except in isolated cases, and while the case-study method recommends itself as a means of capturing the subtleties of the problem-solving approaches used in many projects, it is in itself of limited use in inter-project comparative evaluations and as a valid method for the measuring of the Statewide effectiveness of Title I.

Since no adequate precedent for evaluating Title I programs has been established, the evaluator will be expected to establish his own research design, keeping in mind that the development of an evaluation model with transfer possibilities is one desired outcome of this project.

The proposal to evaluate Title I in California should present in some detail the essential structure of the research design including the means for collecting and analyzing data, the method to be used in developing evaluation criteria, and a description of the sampling process.

B. In-Process Consultation

It is the belief of the Council staff that much can be gained by Title I project directors, by Council staff, and by the research staff of the evaluation project through an interchange of experience and ideas in planned group meetings as well as in one-to-one encounters. A workshop or conference (or perhaps two) on evaluation should be considered as an integral part of the evaluation project, the question of the number of participants and the financial support details to be subject to later negotiation. In general, it may be assumed that some administrative funds from Title I will be available for such a meeting.

In addition, periodic consultations in Sacramento between Council staff and the evaluation project director should be expected and budgeted for.

Specific aspects of the methodology utilized in the Evaluation Project are described in greater detail in this chapter than might otherwise be necessary for the following reasons:

1. The Request for Proposal explicitly requested the development and delineation of a methodology appropriate for the evaluation of Title I projects;

2. The methodology utilized differs markedly from that frequently used in the evaluation of higher and adult education programs, few of which are as broad-aim in nature as Title I projects.

While classical control group designs and case study methods could not appropriately be used in the evaluation project, the nature of Title I projects seemed to lend themselves to "broad-aim program evaluation" (Weiss and Rein, 1969). The use of this type of methodology seemed to be appropriate in evaluating Title I projects because these projects usually have the following characteristics:

1. Title I projects generally deal with autonomous organizations and personnel both inside and outside the higher education institutions "whose willingness to cooperate is highly uncertain" (Caro, 1971, p. 26).
2. Title I programs are limited by the Act to being exclusively educational in nature. To provide effective education relevant to those who engage in community problem solving is to provide one link in the "chain of effects" which may ultimately lead to successful

problem solving. There is frequently uncontrolled exposure of clients to more than what is educationally provided in Title I projects by the higher education institution before they engage in community problem solving. Success at the point of the educational link does not necessarily mean success later in the chain of effects (Hyman and Wright, 1967, in Caro, 1971, p. 202). Nevertheless, the educational link is added in order to catalytically strengthen the chain of effects.

3. It cannot be taken for granted that the objectives of the community problem solving efforts addressed in Title I projects are clearly discernible. Hyman and Wright have cautioned:

> Planned social action implies goals, and it may seem an obvious step for the evaluator to take such goals as given and to concentrate on other aspects of the research procedure. Nothing could be more wrong. Most social action programs have multiple objectives, some of which are very broad in nature, ambiguously stated, and possibly not shared by all persons who are responsible for the program (Hyman and Wright, 1967, in Caro, 1971, p. 197).

4. Further, the community problem solving efforts addressed by Title I projects may not even be goal-oriented in nature. The community problems in the target areas of most, if not in all, Title I projects are sufficiently complex and severe that solutions to them are not evident or easily attainable. The efforts of both the higher education resources and the community problem solvers frequently need, therefore, to be focused on more adequately diagnosing these problem(s) and in

identifying potential solutions to the emergent problem(s) rather than in proceeding as if there were predetermined, specific solutions to well understood problems to be taught. Schulberg and Baker (1968) have pointed to the limitations of utilizing the goal-attainment model in evaluating broad-aim programs and have recommended the use of a system model developed by Etzioni (1960) in evaluating programs designed to establish a working model of a social unit which is capable of achieving a goal (in contrast with programs designed for goal-attainment *per se*).

As summarized by Weiss and Rein (1969, in Caro, 1971, pp. 293-295), broad-aim programs do not lend themselves readily to experimental or near-experimental types of evaluation because of the following technical problems:

1. Changes related to broad aims may take place in many different ways making agreement on criteria difficult.
2. The external situational variables in most broad-aim programs are essentially uncontrolled.
3. The treatment is not standardized, varying in different communities in response to different needs and tolerances.
4. The experimental design discourages unanticipated information.

According to Weiss and Rein, "The broad-aim program is a major undertaking, and the issue is not the simple-minded one of 'Does it work?' but the much more important one of 'When such a program is introduced, what then happens?'" (Weiss and Rein, 1969, in Caro, 1971, p. 294).

An effective methodology for the evaluation of broad-aim, largely unstandardized, and inadequately replicated action programs should, according to Weiss and Rein, be more descriptive and inductive than experimental in design. This type of methodology would have the following characteristics:

> It would be concerned with describing the unfolding form of experimental intervention, the reactions of individuals and institutions subjected to its impact, and the consequences, so far as they can be learned by interview and observation, for the use of field methodology, emphasizing interview and observation, though it would not be restricted to this. But it would be much more concerned with learning than with measuring.
>
> Second, it is very likely that the conceptual framework of the approach would involve the idea of system, and of the intervention as an attempt to change the system. The systems perspective alerts the investigator to the need to identify the forces which are mobilized by the introduction of the program, the events in which aspects of the program are met and reacted to by individuals and institutions already on the scene, and the ways in which actors move in and out of the network of interrelationships of which the program is a constituent. It alerts the investigator to the possibility that important forces which have few interrelationships with the existent system--in this sense, alien forces--may appear on the scene (Weiss and Rein, 1969, in Caro, 1971, pp. 295-296).

This approach to the evaluation of broad-aim programs was utilized in the _ex post facto_ evaluation of the Title I program in California, 1966-1971, with one specific modification, namely that the reading of the projects' files, on-site interviews and the use of survey questionnaires were the primary methods of gathering data. The _ex post facto_ nature of this evaluation excluded the use of observation.

The major interacting components of the total system relevant to Title I projects are shown in Figure 1.

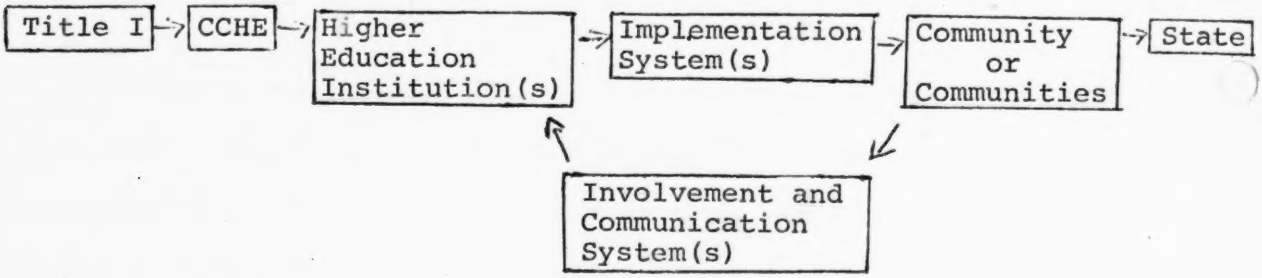
Title I
CCHE
Higher Education Institution(s)
Implementation System(s)
Community or Communities
State
Involvement and Communication System(s)

Fig. 1: Diagram of the Major Components of the Total System Relevant to Title I Projects

The evaluation design had to take into consideration: the nature of the interrelationship of each of these components; differences in the type and size of higher education institutions which received Title I funding; differences in the communities served; differences in the extent of funding and of State priorities from year to year; and differences in the projects themselves.

The broad-aim evaluative design, which was developed by the evaluation team to encompass such complexities, consisted of the sequence of activities summarized in Figure 2 on the next page.

Many of these activities, sequencing, and the time schedule were either specifically called for or implied in the Coordinating Council's Request for Proposal. This functional flow chart of Title I project evaluation activities was found to be workable and constitutes a close approximation of the actual manner in which the project was implemented.

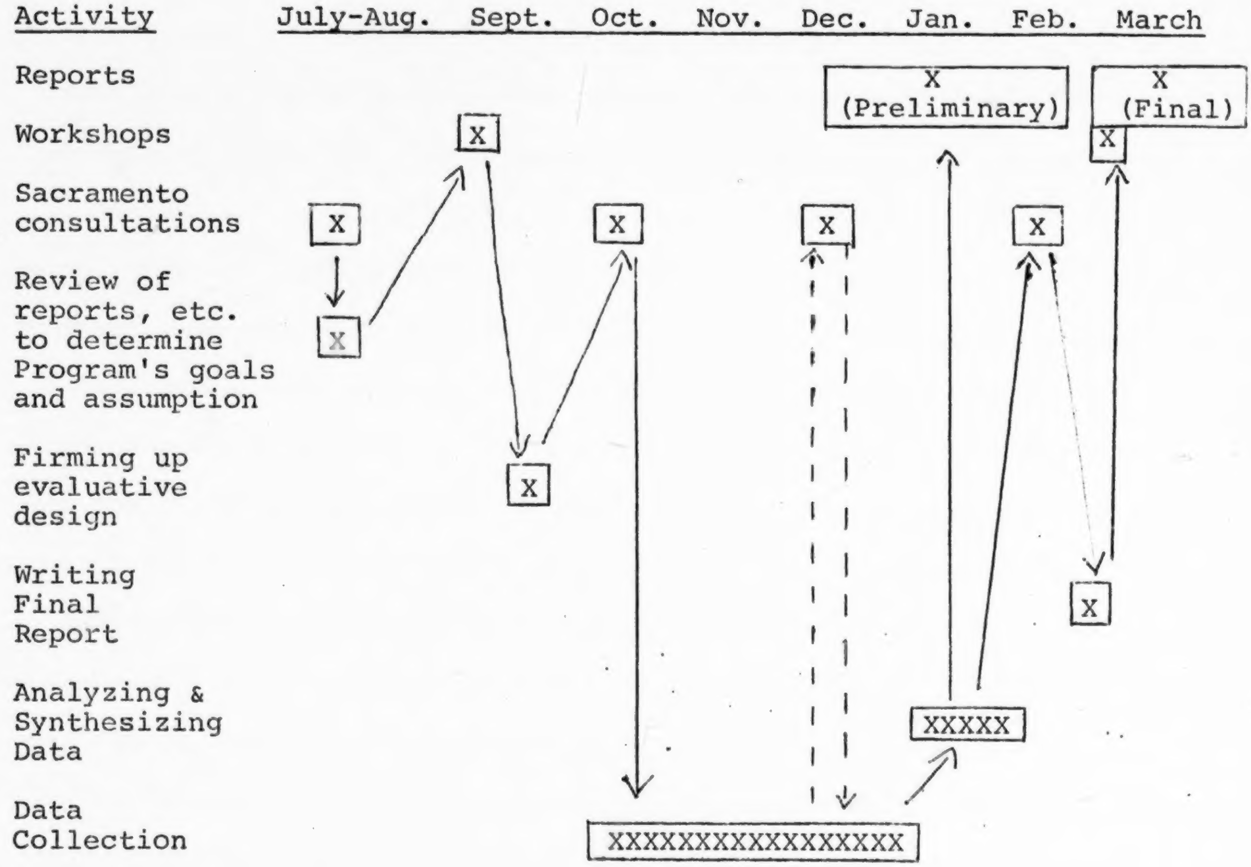
Activity
July-Aug.
Sept.
Oct.
Nov.
Dec.
Jan.
Feb.
March
Reports
X (Preliminary)
X (Final)
Workshops
X
X
Sacramento consultations
X
X
X
X
Review of reports, etc. to determine Program's goals and assumption
X
Firming up evaluative design
X
Writing Final Report
X
Analyzing & Synthesizing Data
XXXXX
Data Collection
XXXXXXXXXXXXXXXXX

Fig. 2: Functional Flow of Title I Project Evaluation Activities

Methodologies used in obtaining and analyzing evaluative data are described, in turn, below.

Evaluative Data From Reading Relevant Documents

To get perspective on the nature of the Title I projects in California (1966-1971), the evaluation team undertook a review of the documents which had been kept on file by the Coordinating Council for Higher Education and which were relevant to the projects being evaluated. These documents included: (1) statements of the legislative intent and the nature of the Title I

Act; (2) 1966-1971 Title I project proposals, quarterly reports and final reports; (3) reports of former on-site evaluations made by the Council's Title I staff; and (4) other documents identified with the help of the Council's Title I staff as being of potential relevance to the evaluation. Reading these documents provided the evaluation team with a "natural history account of events and actors before, during, and after the program implementation" (Caro, 1971, p. 27), told in the words of the actors themselves. While such an account could not provide the total basis for the evaluation of these projects, it was found to be of value in providing an initial overview of the nature of Title I and of these particular Title I projects.

From the reading of these documents, tentative dimensions, hereafter referred to as "key indicators," were identified to be used in the gathering and classification of evaluative data. A list of these key indicators and questions related to each are presented in Appendix I. Many of these questions were concerned with the manifest and latent dynamics in Title I projects and seemed, therefore, to be most readily answerable through the use of some form of functional analysis.

A paradigm for functional analysis (Merton, 1968) was utilized in the evaluation project in seeking to obtain and analyze data pertaining to imputed functions, motives and purposes, intended and unintended consequences, and the nature of change in the Title I projects.

In-Process Consultations

Consultations concerning the way in which the evaluation project was progressing were held between members of the evaluation team and members of the Council's Title I staff. A similar, two-day, in-process consultation was held with members of the national Title I staff in Washington, D.C., in August, 1971.

Since it had been found elsewhere that "participation in a form of self-analysis is more likely to be followed by changes than if the analysis is (exclusively) made by an outsider" (Mann and Likert, 1952, in Caro, 1971, p. 149), a workshop was held in September, 1971, in San Francisco. This workshop was developed by the evaluation team (Agenda in Appendix III) to acquaint the project directors and Council staff with the results of the review of the reports and other written materials; to enlist their assistance in firming up the evaluative design; and to involve them in the identifying of key indicators of the Title I projects to be focused on in the balance of the evaluation project.

One or more present or former project directors from over 90% of the higher education institutions which had been funded between 1966-1971 participated in the workshop. Before the list of key indicators and related questions by the evaluation team was shown to those in attendance at the workshop, the project directors, both individually and as the result of group discussions, were asked to provide lists of issues, problems and questions concerning the Title I projects which had been undertaken in the State in 1966-1971. These lists were subsequently used as a source of validating and, in some instances, supplementing the original key indicators list developed by the evaluation team.

In September, 1971, an in-process consultation session concerning the evaluation project was held in Sacramento with the State's Title I Advisory Committee. In this and the other in-process consultations, not only were persons who were knowledgeable about and concerned in different aspects of Title I in California informed about the evaluation project, but their inquiries and suggestions were also used by the evaluation team as a means of strengthening the evaluation as it progressed.

Obtaining Evaluative Data from Field Interviewing

Dimensional Sampling

In view of the fact that there were literally tens of thousands of persons involved in Title I projects in one way or another throughout the State between 1966-1971, and due to the limitations on time and budget, it was determined that neither single-case studies nor a large-number approach to sampling would be feasible to provide the information needed in this evaluation. Therefore, a dimensional sampling approach (Arnold, 1970) was utilized, which would more adequately sample the nature and consequences of the Title I projects in the State from 1966-1971 and which at the same time would permit the development of a theory[4] in a manner not found in either the single case study or the large number approach. Arnold describes the three steps involved in this approach as follows:

---

[4] "Theories are nets cast to catch what we call 'the world': to rationalize, to explain, and to master it. We endeavour to make the mesh ever finer and finer" (Popper, 1969, p. 5).

> Briefly, the approach is a three-step one: (1) explicitly delineate the universe to which you eventually wish to generalize; (2) spell out what appear to be the most important dimensions along which the members of this universe vary and develop a typology that includes the various combinations of values on these dimensions; (3) use this typology as a sampling frame for selecting a small number of cases from the universe, typically drawing one case from each cell of the typology.
>
> . . .
>
> What is required to protect against bias is to lay out the dimension along which the cases vary and then examine at least one example of each case.
>
> . . .
>
> The whole point of dimensional sampling is that it is based on a preconceived theoretical framework, although not on a preconceived theory.
>
> . . .
>
> At the other extreme, studying single cases, whether through participant observation, historical analysis, or some other technique, can also be useful if, as with O'Dea's study of the Mormons (1957), knowledge of the particular case being studied is important in and for itself, or if it provides a crucial test for some pre-existing theory. It is possible to draw generalizations from a case study and apply them to a wider range of phenomenon in an attempt to generate theory, but this is a very dangerous way to proceed. The researcher who wishes to do this would find himself on much safer and at the same time more productive ground if he used more than one case, provided he selected them by means of dimensional sampling (Arnold, 1970, pp. 147-149).

Based on the reading of the documents and the other sources used to obtain an overview of the Title I projects in 1966-1971 in California, the evaluation team identified the following six dimensions for sampling purposes:

1. The type of higher education institution: The types of higher education institutions used in this dimension were: (a) University of California; (b) California State College; (c) California Community College;

(d) Private higher education institution.

2. Amount of Title I funding: (a) Less than $10,000; (b) Between $10,000 and $100,000; (c) Over $100,000.

3. Geographic location in the state: (a) Northern California; (b) Central California; (c) Sacramento area; (d) San Francisco area; (e) Los Angeles area; (f) San Diego area.

4. Type of community problems affecting target populations: (a) Environmental and ecological problems; (b) Problems of inner city decay; (c) Problems of minorities and disadvantage; (d) Community crisis problems; (e) Problems of inefficient government.

5. Key indicators concerning Title I projects: (a) Impact and objectives; (b) Problem solving; (c) Inter-institutional and/or inter-agency relationship; (d) Alternative funding patterns; (e) Organizational development; (f) Functions of Title I; (g) Environmental context and influence of Title I; (h) Semantics.

6. Major alternative ways of conceptualizing and implementing Title I projects. These alternatives were considered to be comparison groups which received alternate treatments because of the different ways in which Title I was conceptualized and implemented in different projects. Concerning the use of comparison groups in evaluative research, Caro has observed:

> In action settings it may be possible to use comparison groups when control groups are unacceptable. Unlike the control group which receives no treatment, the comparison group receives an

> alternate treatment. Where policy makers are committed to the principle of providing additional services, a comparison groups design may actually provide more useful information than a design using only a strict control group" (Caro, 1971, p. 24).

Based on the results of this dimensional sampling, the decision was made by the evaluation team to interview in 24 of the 36 higher education institutions in the State funded between 1966-1971. This sample satisfied the requirements for the six sampling dimensions described above.

Elite and Specialized Interviewing

A form of elite and specialized interviewing was adopted from Dexter (1970) with the help of personnel of UCLA's Survey Research Center and was used to gather evaluative data not otherwise obtainable. Sending out a fixed questionnaire would not allow identification of problems and issues about which the evaluation team was not familiar.

Dexter has described "elite and specialized interviewing" as follows:

> (An elite interview) is an interview with *any* interviewee--and the stress should be on the word 'any'--who in terms of the current purposes of the interviewer is given special, non-standardized treatment. By special, non-standardized treatment I mean
>
> 1. stressing the interviewee's definition of the situation,
> 2. encouraging the interviewee to structure the account of the situation,
> 3. letting the interviewee introduce to a considerable extent (an extent which will of course vary from project and interviewer to interviewer) his notions of what he regards as relevant, instead of relying upon the investigator's notions of relevance.

Put another way, in standardized interviewing--and in much

> seemingly nonstandardized interviewing, too (for instance, in Merton's 'focused interview' in its pure form)--the investigator defines the question and the problem; he is only looking for answers within the bounds set by his presuppositions. In elite interviewing, as here defined, however, the investigator is willing, and often eager to let the interviewee teach him what the problem, the question, the situation, is--to the limits, of course, of the interviewer's ability to perceive relationships to his basic problems, whatever these may be.
>
> . . .
>
> In the standardized interview, the typical survey, a deviation is ordinarily handled statistically; but in an elite interview, an exception, a deviation, an unusual interpretation may suggest a revision, a reinterpretation, an extension, a new approach. In an elite interview it cannot at all be assumed--as it is in typical survey--that the persons or categories of persons are important (Dexter, 1970, pp. 5-6).

The elite interviewing was done with an interview plan rather than an interview schedule, which implies greater rigidity than the technique calls for (Dexter, 1970, p. 84). The interview consisted of a list of questions which were generated from key indicators. The use of this type of interview made it possible for the evaluation problem to be redefined when necessary during the interviewing process (Dexter, 1970, p. 90).

To the extent possible, the evaluation team tried to put the interviewees at ease about the evaluation in the following ways:

1. At the fall workshop, personnel from the CCHE Title I staff and from the evaluation team explained the nature of the evaluation project to the project directors in attendance. The project directors had an opportunity to discuss the evaluation project and to make suggestions concerning how the site interviews would be conducted and what they would like to learn from the project.

2. The project directors themselves were asked to make the arrangements for the interviewing schedule for the evaluation team in their higher education institution, giving them an opportunity to explain the nature of the evaluation project to others being interviewed.

3. The interviewers explained to interviewees that the purpose of the evaluation project was not to determine which were good projects and which were bad projects, nor to determine which higher education institutions should or should not be refunded, but rather to learn more about the alternative ways in which the Title I projects had been conceptualized, the nature of the various ways in which they had been implemented, and the nature of the intended and unintended consequences.

4. With the help of UCLA's Survey Research Center, surveyors who could identify with individuals in the target populations of projects which addressed themselves to problems of race and poverty were hired and trained to do this part of the target population interviewing. Difficulties in conducting such interviews, incurred in other evaluation projects, are indicated by Caro:

> The poor tend to view problems in very concrete terms..., to demand a simple and direct approach to problem-solving, and to associate questionnaires and formal interviews with their unsatisfactory encounters with the often rigid, arbitrary, and inhumane rules and procedure of governmental agencies (Caro, 1969, in Caro, 1971, p. 313).

Elite and specialized interviews were conducted in each of the 24 higher education institutions with the following types of persons associated with the Title I projects: project directors; the highest administrator(s) in the higher education institution; faculty; students; other project personnel; agency personnel; and, persons in target populations involved in Title I projects. The distribution of field interviews according to type of institution is presented in Table 3. The distribution of field interviews according to type of interviewee is presented in Table 4.

TABLE 3

DISTRIBUTION OF FIELD INTERVIEWS ACCORDING TO TYPE OF INSTITUTION

Type of Institution	Number of Institutions in which Interviewing was Conducted	Number of Interviews
Community Colleges	4	29
State Colleges	9	72
University of California	8	64
Private Institution	4	28
Total	24	193

TABLE 4

DISTRIBUTION OF FIELD INTERVIEWS ACCORDING TO TYPE OF INTERVIEWEES

Type of Interviewees	Number of Interviews
Administrators	29
Faculty Members	31
Students	24
Project Staff	46
Agency Personnel	29
Persons from Target Populations	34
Total	193

Many interviewees indicated during the interviews that they welcomed the opportunity to talk about their project(s) with a person who was knowledgeable about Title I and about what had been done in other Title I projects. At times, interviewees said that the interview helped them to focus on aspects of what had happened in the projects, making it possible for them to reconceptualize and articulate the nature of the projects. In a number of instances, interviewees asked questions about what the evaluation team had already learned from talking with others or from reading the files. For example, students participating in a Title I project on one campus inquired about the nature of experiences of students in Title I projects on other campuses. In response, the interviewer would briefly provide the requested information, but always within the bounds of confidentiality. In some instances, interviewees specifically requested that a copy of the Evaluation Project's final report be sent to them so that they could familiarize themselves further about the ways in which others had conceptualized and implemented Title I projects.

The main function of the interviewer was to focus attention upon a given experience and its effects rather than to ask specific questions. The characteristics of this type of interview have been described by Dexter as follows:

> 1. Persons interviewed are known to have participated in an uncontrolled but observed social situation.
>
> 2. The hypothetically significant elements, patterns, and total structure of this situation have been previously analyzed by the investigator. Through this situational analysis, he has arrived at a set of hypotheses concern-

ing the meaning and effects of determinate aspects of the situation.

3. On the basis of this analysis, the investigator has fashioned an 'interview plan' which contains a general idea of the major areas of inquiry and the hypotheses (in our case perhaps better called the considerations) which locate (or suggest) the pertinence of data to be obtained in (or from) the interview.

4. The interview itself is focused on the 'subjective experiences' of persons exposed to the pre-analyzed situation. The array of their reported responses to this situation or type of situation enables the investigator:

    a. to test the validity of hypotheses (or the pertinence of considerations) derived from analysis and social theory; and

    b. to ascertain unanticipated responses to the situation, thus giving rise to fresh hypotheses.

5. The interview is more successful when the interviewer can obtain clues, not only through the verbal reports of the subjective experiences but through observation of stance in interviewing, and even more through incidental observations (not actually part of the question-response interview) of subject's behavior which allow further 'insight' into experience (Dexter, 1970, pp. 83-84).

This is clearly a "transactional" type of interviewing (Dexter, 1970, pp. 139-149).

Whenever it could be arranged, persons who were knowledgeable about the Title I project(s) at each higher education institution were interviewed separately and in the following order: (1) the project director(s); (2) other project staff; (3) the highest administrator in the institution knowledgeable about the Title I project(s); (4) faculty; (5) students; and (6) agency personnel. Because these elite interviews were exploratory in nature, this sequencing of interviews in terms of the roles of the interviewees permitted the interviewers to become increasingly familiar, as the series of interviews progressed, with: (1) the nature of the Title I projects in the higher education institutions; (2) the dynamics within each project; and (3) sequential consideration when the higher education institutions had more than one Title I project.

Most of the interviews were held in the office of the interviewee, making it possible for references to files to be made during the interview. A few interviews were conducted in meeting rooms scheduled by the project directors. The length of the interviews averaged one and one-half hours with the project directors and three-quarters of an hour with the other interviewees. Most of the interviews were relatively free from interruptions, with the interviewees frequently having left instructions for the interviews not to be disturbed.

In some instances, because of time pressures, group interviews were conducted, mainly with project personnel and with groups of students. While this type of group interviewing made it possible for the interviewer to get the inputs from a greater number of persons and from group interaction where there was less than total agreement on the part of the interviewees, these group interviews were frequently dominated by one or two of the group members.

Most of the questions asked in these interviews were multi-interpretable by nature, designed to discover social patterns or values, so that the interviewee could interpret them in his own terms and out of his own experience and frame of reference (Dexter, 1970, p. 55).

The interviews were more in the form of discussions rather than rapid questioning. During the interviews, 4" x 6" cards were used to make notes. There seemed to be little or no resistance to this technique on the part of the interviewees. At times interviewees would deliberately and explicitly dictate a short answer to specific questions "for the record." At other times, interviewees indicated that they wished to tell the interviewer something "off the record." Whenever this occurred, no notes were taken and every effort was made to maintain confidentiality in connection with the information provided. Occasionally interviewees would put charts or diagrams on the blackboard in response to particular questions or to facilitate discussion of a topic.

Between site interviews, members of the evaluation team "debriefed" each other. Debriefing is "a process whereby evaluators verbally communicate to each other data collected in the field in order to provide a richness of observation that structured written reports typically lack" (Glaser and Backer, 1972, p. 14).

Occasionally it was determined in a debriefing session that a specific type of additional data was needed from interviewees. These additional data were subsequently obtained by the use of telephone interviewing or a brief mailed questionnaire.

The following limitations of specialized and elite interviewing were recognized by the evaluation team:

1. The interviewees' statements represented merely their perceptions of the nature of Title I project(s) and their consequences rather than behavioral indicators.

2. Some interviewees may have thought that there was a relationship between evaluation and future funding decisions.

3. Interviewees may have never known, may have forgotten, or may have only partially remembered what had happened in the Title I project(s).

According to Dexter, in elite interviewing "The major way in which we detect distortion, and correct for it, is by comparing an informant's account with the accounts given by other informants" (Dexter, 1970, p. 127). The evaluation team was able to do this not only within projects, but also between projects Statewide and within the various types of institutions and contextual settings in which the Title I projects occurred.

The interviewers found that being able to say that they had read the project(s)'s quarterly reports and other documents which had been sent to the Coordinating Council for Higher Education from the higher education institution in which the interviewing was taking place seemed to have a positive effect on the objectivity of the interviewee. In some instances the interviewer was far more acquainted with written reports about the higher education institution's Title I project(s) than the interviewee. Occasionally, questions were raised by the interviewer about what seemed to be discrepancies between information reported by the interviewee and the written project reports. This type of approach frequently helped to clarify the interviewer's interpretation of the written report or led to clarification of the interviewee's statements.

Analysis of the data was done primarily through the use of one or more of the following types of content analysis:

> 1. Symbol-counts: Consist of identifying and counting specified key symbols in communications...
>
> 2. One-dimensional classification of symbols: This is a slight elaboration of the previous type. Symbols are classified according to whether they are employed, broadly speaking, in positive (favorable) or negative (unfavorable) contexts...
>
> 3. Item-analysis: Classification of segments of sections of data. This requires selection of significant and insignificant items on the basis of a theory...
>
> 4. Thematic analysis: Classification of the explicit and implicit (symbolic) themes in the data. This, as distinct from item-analysis, deals with the supposed cummulative significance of a series of items.
>
> 5. Structural analysis: Concerned with the interrelations of the various themes in the data. These relations may be complementary or interfering...(Merton, 1968, p. 569).

This was the most critical part of the evaluation process because there were few categories which could be identified at the outset as being comprehensive enough to subsume the scope and internal dynamics of the Title I projects evaluated. The balance of this report presents the evaluative findings in relation to the conceptual framework which emerged from this analysis.

Summary

The Request for Proposal from the Coordinating Council for Higher Education for the five year evaluation of Title I from 1966-1971 called for the evaluator to determine to what extent the selection, funding, and implementation of Title I projects in California have been successful in achieving the national, State, and local objectives set for Title I.

The Request for Proposal indicated that there was no adequate precedent for evaluating Title I programs and that the evaluator would be expected to establish his own research design, keeping in mind that the development of an evaluation model with transfer possibilities was one desired outcome of the project. It further stated that the classic control-group design or the case-study method were inadequate methodologies for use in the project. Periodic consultations between the Coordinating Council's staff and the evaluation project director were also called for in the Request for Proposal. In addition, the in-process consultation included a workshop with Title I project directors.

The evaluation methodology utilized differs markedly from that frequently used in the evaluation of higher and adult education programs, few of which are as broad-aim in nature as Title I projects. Weiss and Rein (1969) indicate that broad-aim programs do not lend themselves readily to experimental or near-experimental types of evaluation because of the following: (1) changes related to broad aims may take place in many different ways; (2) the external situational variables in most broad-aim programs are essentially uncontrolled; (3) the treatment is not standardized; and (4) the experimental design discourages unanticipated information. The major issue is not the simple-minded one of "Does it work?" but the much more important one of "When such a program is introduced, what then happens?"

To get perspective on the nature of the Title I projects in California (1966-1971), the evaluation team undertook a review of the documents which included: (1) statements of the legislative intent and the nature of the Title I Act; (2) 1966-1971 Title I project proposals, quarterly reports and final reports; (3) reports of former on-site evaluations made by the Council's Title I staff; and (4) other documents identified with the help of the Council's Title I staff as being of potential relevance to the evaluation. From the reading of these documents, tentative key indicators were identified. Evaluative data from field interviewing through the use of dimensional sampling were then gathered. The following six dimensions were used for sampling purposes: (1) the type of higher education institution; (2) the amount of Title I funding; (3) the geographic location in the state; (4) the type of community problem affecting target populations; (5) the key indicators concerning Title I projects; and (6) the major alternative ways of conceptualizing and implementing Title I projects.

Based on the results of this dimensional sampling, the decision was made to interview in 24 of the 36 higher education institutions in the State. Administrators, faculty members, students, project staff, agency personnel, and persons from target populations were interviewed. A form of elite and specialized interviewing was adopted from Dexter (1970) and was used to gather data not otherwise obtainable in the 193 interviews conducted. Most of the questions asked in these interviews were multi-interpretable by nature, designed to discover social patterns or values, so that the interviewee could interpret them in his own terms and out of his own experience and frame of reference.

Analysis of the data included: (1) symbol-counts; (2) one-dimensional classification of symbols; (3) item-analysis; (4) thematic analysis; and (5) structural analysis.

CHAPTER III

EVALUATIVE FINDINGS:
A RATIONALE FOR TITLE I PROGRAMMING AND EVALUATION

Higher education institutions are not community problem solving agencies nor are their faculty members "answer-men" for community problem solving. But it has been found in this evaluation of Title I projects that higher education resources can be made relevant to the educational needs of community problem solvers. Because of Title I, community problems have been solved with catalytic effect in ways and to an extent otherwise not possible. The rationale, which emerged in the analysis of the evaluative data and which led to the above conclusion, is presented in this chapter. Documentation of the ways in which Title I was implemented and the consequences is presented in Chapter IV.

From reading the proposals and quarterly reports of the 97 projects, and from field interviews in 24 of the higher education institutions, the evaluation team found that the Title I projects in the State have been focused on a variety of extensive and pressing community problems. The distribution of Title I projects according to predominant community problems[5] addressed is presented in Table 5.

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[5] These problem areas have been identified in the Fifth Annual Report of the National Advisory Committee on Extension and Continuing Education, March, 1971.

TABLE 5

DISTRIBUTION OF TITLE I PROJECTS ACCORDING TO PREDOMINANT COMMUNITY CONCERN BEING ADDRESSED

(N=97 projects)

Predominant Community Concerns Adrressed	Percent of Total Title I Projects
Envrionment and Ecology	15
Inner-city Decay	13
Community Crisis	11
Minorities and Disadvantaged	35
Inefficient Government	16
Combination of Community Problems	10
Total	100

To move beyond seeking to deal with community problems in general, and to develop a rationale for Title I programming and evaluation in their projects, local Title I project personnel found it necessary to:

(1) analyze the order of community problems to be addressed;

(2) determine how to relate the resources of the higher education institution to community problem solving; and

(3) distinguish between intended and imputed consequences of Title I projects

Many of the strengths and weaknesses in particular Title I projects evaluated were found to stem from the extent to which local Title I project personnel were able to accomplish these conceptual tasks. Ways which were found to accomplish these tasks, along with some of the pitfalls incurred, are presented below.

Analyzing the Order of Community Problems

Title I project personnel reported that it was essential for them to be able to determine the order of community problems to be addressed. Otherwise they found themselves dealing with community problems in general or with unrelated fragments of community problems. Moreover, they found it difficult to relate the resources of higher education institutions to unspecified or inappropriately specified community problems. One project director said that he found it necessary to find a way to analyze the "complexity and density" of community problems before he could made significant headway in educationally assisting community problem solvers.

When asked in field interviews how they conceptualized the order of community problems, project directors contrasted: (a) lower-order community problems which can be understood rationally and which are routinizeable in nature with higher-order community problems which are unique or which cannot be understood rationally; (b) lower-order community problems which are easily solvable with higher-order community problems which are more difficult to solve but which can be solved given the necessary resources or higher-order community problems which break into a proliferation of other more complex problems on closer examination and which have been found to be virtually unsolvable for this reason (the most that can be hoped for in addressing the latter type of problems, they indicated, is to find a way to cope with them more adequately);

(c) lower-order community problems which affect individuals as individuals with higher-order community problems which affect sub-groups or groups of individuals within a local area, a region, a state, a nation, or the world.

Each of these ways of differentiating between higher and lower order community problems is depicted in Figure 3.

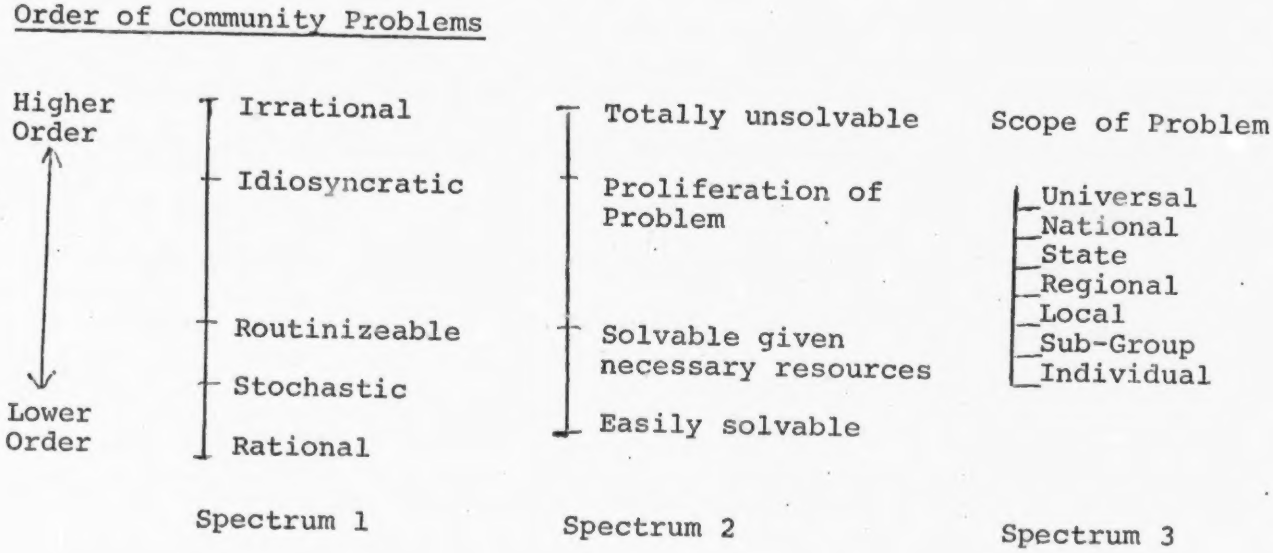
Order of Community Problems
Higher Order
Lower Order
Irrational
Idiosyncratic
Routinizeable
Stochastic
Rational
Spectrum 1
Totally unsolvable
Proliferation of Problem
Solvable given necessary resources
Easily solvable
Spectrum 2
Scope of Problem
Universal
National
State
Regional
Local
Sub-Group
Individual
Spectrum 3

Fig. 3: Ways of Depicting the Order of Community Problems

The third spectrum in Figure 3 refers to the scope of a community problem. The distribution of Title I projects in California between 1966-1971, in terms of the scope of the community problems which they addressed, is presented in Table 6.

TABLE 6

DISTRIBUTION OF TITLE I PROJECTS ACCORDING TO THE SCOPE OF THE COMMUNITY PROBLEMS ADDRESSED

(N=97 projects)

Geographic Target Area	Percent of Total Title I Projects
Section of a City	28
City of Metropolitan Area	27
County Area	28
Region or Multi-county Area	17
State-wide	0
Total	100

Analysis of the evaluative data indicates that community symptoms are ultimately dealt with rather than community problems when:

(1) Title I projects propose to solve higher-order community problems which are irrational, unsolvable, and universal in nature in order to get funded, and then, when they are unable to solve these problems, switch to lower-order problems which are easily solvable in order to justify their efforts; and

(2) Title I projects address higher-order community problems as if they were lower-order individual problems with the assumption that these higher-order community problems can be solved by merely treating some easily solvable problems in a community or by treating the

problems of some of the individuals in the communities.

Promises could be made, for example, to deal with the housing problems in a ghetto. Merely to provide information and repair kits for housing maintenance to tenants in the ghetto may be of help to individuals, but it cannot be assumed to provide a solution to the housing problem at the community level. Solving the housing problem of one family, moreover, attacks what is a relatively lower-order problem from the role perspective of community problem solving. All efforts which deal with problems at a lower-order than at the community level or in terms of lower-order community problems, as valuable as they may be to individuals who are affected by the problems, cannot be assumed, even at best, to lead to adequate community problem solving of the type of problems cited in the Title I Act. "Community problem solving" by definition requires, moreover, that problems be dealt with first and foremost as problems affecting communities rather than those affecting sub-communities, groups, families, or individuals *per se*.

Relating the Resources of the Higher Education Institution to Community Problem Solving

Once specific community problems to be addressed in a Title I project have been identified, local Title I project personnel report that they have to determine how to relate the resources of the higher education institution to the solving of those problems. The Act itself seems to limit the ways in which this can be done in Title I projects to providing educational assistance. Section 102 of the Act specifies: "For purposes of this title, the term 'community service program' means an educational program, activity, or service... which is designed to assist in the solution of community problems." The significant and restrictive words in this section seem to be the terms "educational" and "to assist."

The use of the phrase "to assist" restricts, it is assumed, seeking to involve higher education institutions or their resources directly in the community problem solving process. Moreover, direct involvement has been found to be inappropriate and dysfunctional in Title I projects. One project director reported:

> When the higher education institution is involved in direct action planning and action implementation, it is acting as if it were an agency or a citizens' group. Later, citizens and agencies which did not receive benefits from the institution's actions often express resentment and seek to block further actions on the part of the higher education institution.

The most effective project directors did not claim that their Title I projects, or their higher education institutions, solved problems directly. Rather, they saw their role as facilitating the process by which citizens and agencies solved problems. They assisted citizens and agencies in identifying problems and helped them to see the alternatives realistically. The citizens and agencies then took the action.

Similarly, it is assumed that the use of the word "educational" in Section 102 of the Act restricts Title I projects from providing noneducational assistance to community problem solving efforts. For example, if a Title I project were to act as a funding agency, using either the Title I funds or the funds of a higher education institution, it would be providing non-educational assistance.

In contrast, what seems to be called for in the Act is the releasing of higher education institutions' resources through providing educational assistance to community problem solvers. The Title I projects in California between 1966-1971 released educational resources of higher education institutions through a variety of educational activities. The distribution of these Title I projects, according to the type of predominant educational activity utilized, is presented in Table 7.

TABLE 7

DISTRIBUTION OF TITLE I PROJECTS ACCORDING TO PREDOMINANT EDUCATIONAL ACTIVITY USED

(N=97 projects)

Predominant Educational Activities Used in Project	Percent of Total Title I Projects
Training in Methodologies and Techniques	30
Seminars	21
Counseling and Guidance	13
Field Experience	12
Research	10
Conference and Mass Media	9
Recruitment and Students	5
Total	100

The basic elements of this process in which higher education resources are provided to community problem solvers are depicted in Figure 4. The immediate concern of a Title I project is providing educational assistance to community problem solvers. The ultimate concern of a Title I project is the consequences of that educational assistance in terms of community problems solved.

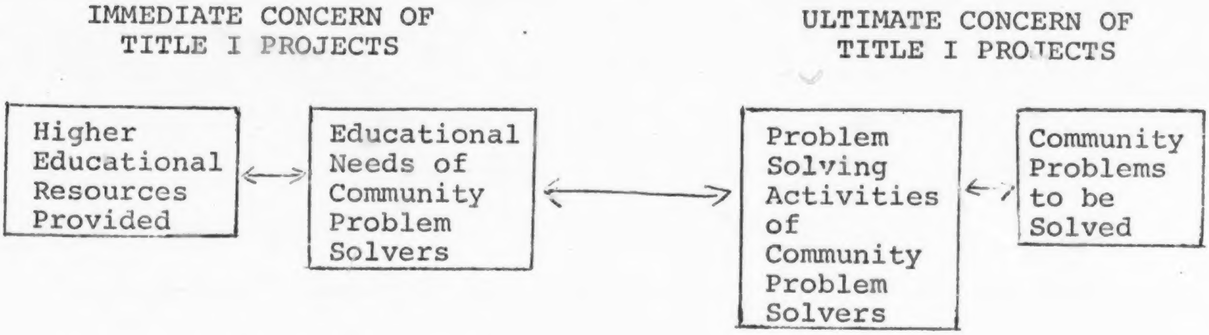
IMMEDIATE CONCERN OF TITLE I PROJECTS
ULTIMATE CONCERN OF TITLE I PROJECTS
Higher Educational Resources Provided
Educational Needs of Community Problem Solvers
Problem Solving Activities of Community Problem Solvers
Community Problems to be Solved

Fig. 4: Releasing higher education resources to assist educationally in community problem solving.

By differentiating between immediate and ultimate concerns and by exclusively providing educational experiences, Title I projects are able to release the resources of higher education institutions to community problem solvers without involving institutions in playing an advocacy role. In effect, in almost all Title I projects evaluated, bridges were established between the higher education institutions and community problem solvers without loss of the identity or autonomy[6] of either.

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[6] "The University is not the microcosm of society; it is an academic community, with an exemption from integration into the society, and having an autonomous position in order to be able to fulfill its own responsibility, which is to conduct untrammeled inquiry into all questions." (Bell, Daniel & Irving Kristol (eds.) Confrontation: The Student Rebellion & the Universities, New York: Basic Books, Inc. 1969.)

Further, in virtually 100% of the Title I projects, the educational assistance was designed to have a catalytic effect on the community problem solving process. The term "catalytic" has been defined as follows:

> Catalyst--metaphorically--an agency that markedly influences the social process without being an integral part thereof; a person without personal stake in a group's behavior who, by participation in discussion, helps the group define its means and ends (Drever, 1953, p. 315).

In short, the catalytic educational assistance was provided to community problem solvers in a way which kept the higher education institution from becoming immediately involved in the community problem solving process. Nevertheless, the educational assistance had a marked influence on that problem solving process and, ultimately, on the community problems which needed solving. One project director observed:

> Our role is to work with those who work with the community. We work with the agencies to provide skills. We do not provide direct services. We do our best when we provide training in skills and in leadership. We bring information to professionals.

Another project director reported:

> We should not be solving problems. We bring people together and act as a catalyst for problem identification and for releasing educational resources relevant to these problems.

In these statements, the directors were describing how they sought educationally to relate the resources of higher education institutions to various phases of the community problem solving process.

Functional ways of relating higher education resources to particular phases of the community problem solving process are presented in Table 8, along with an indication of the percentage of Title I projects evaluated which were predominantly concerned with providing each type of resource.

TABLE 8

RELATIONSHIPS BETWEEN PHASES OF THE COMMUNITY PROBLEM SOLVING PROCESS AND HIGHER EDUCATION RESOURCES RELEVANT TO EACH PHASE

Phases of the Community Problem Solving Process (Lawrence & Lorsch, 1969)	Examples of Higher Education Resources Typically Relevant To Each Phase	Percentage of Title I Projects Predominantly Providing Each Type of Resource
(1) Diagnosis Problem Identification and Identification of Alternate Solutions	Research and Development or Participation in Problem Diagnosing Seminars	31
(2) Action Planning	Methodological and Technological Training Classes or Workshops	57
(3) Action Implementation	Student field experiences	12
(4) Evaluation	Evaluative Research	0
Total		100

In contrast, it was found that the following generally did not work: (1) to apply methodological and technical training before adequate diagnosis had been accomplished; (2) to involve persons in problem solving seminars whose educational needs were limited to methodological training; and (3) to involve students in field experiences in which adequate problem diagnosis of community problems had not previously or adequately been done.

Distinguishing Between Types of Consequences

Title I Projects

Analysis of the evaluative data indicates that, in programming and evaluating Title I projects, it is important to distinguish between intended, immediate consequences and imputed, intermediate, or ultimate consequences of Title I projects. Intended consequences are those which are brought about deliberately by a Title I project's personnel. Imputed consequences are those which others claim were caused totally or in part by a Title I project.

Typically, the immediate intents of Title I projects were to provide educational assistance to community problem solvers. The education was not oriented to imparting knowledge for its own sake. Rather, it was hoped that ultimately those receiving the education would more adequately solve community problems because of knowledge acquired in Title I projects.

Efforts to evaluate Title I programs can utilize this fact, focusing not primarily on what happened immediately in the educational event but on the ultimate consequences of the education when it is used in actual community problem solving. The latter could be called "consequential evaluation" or, in other words, evaluation in terms of consequences, both intended and unintended, as well as manifest and latent, and functional, dysfunctional, and nonfunctional.

The ultimate value of Title I projects stood out when the consequences of the projects were identified and analyzed. In reading the files and in interviewing faculty, students, agency personnel, and persons from target populations, the evaluation team became increasingly impressed with the consequences which were imputed[7] to Title I projects in the State between 1966-1971.

A hypothetical illustration of imputed and verifiable consequences of a Title I educational experience is presented in Figure 6. The reader will note the distinction made in this illustration between the educational experiences and its immediate, intermediate, and ultimate consequences, both intended and imputed.

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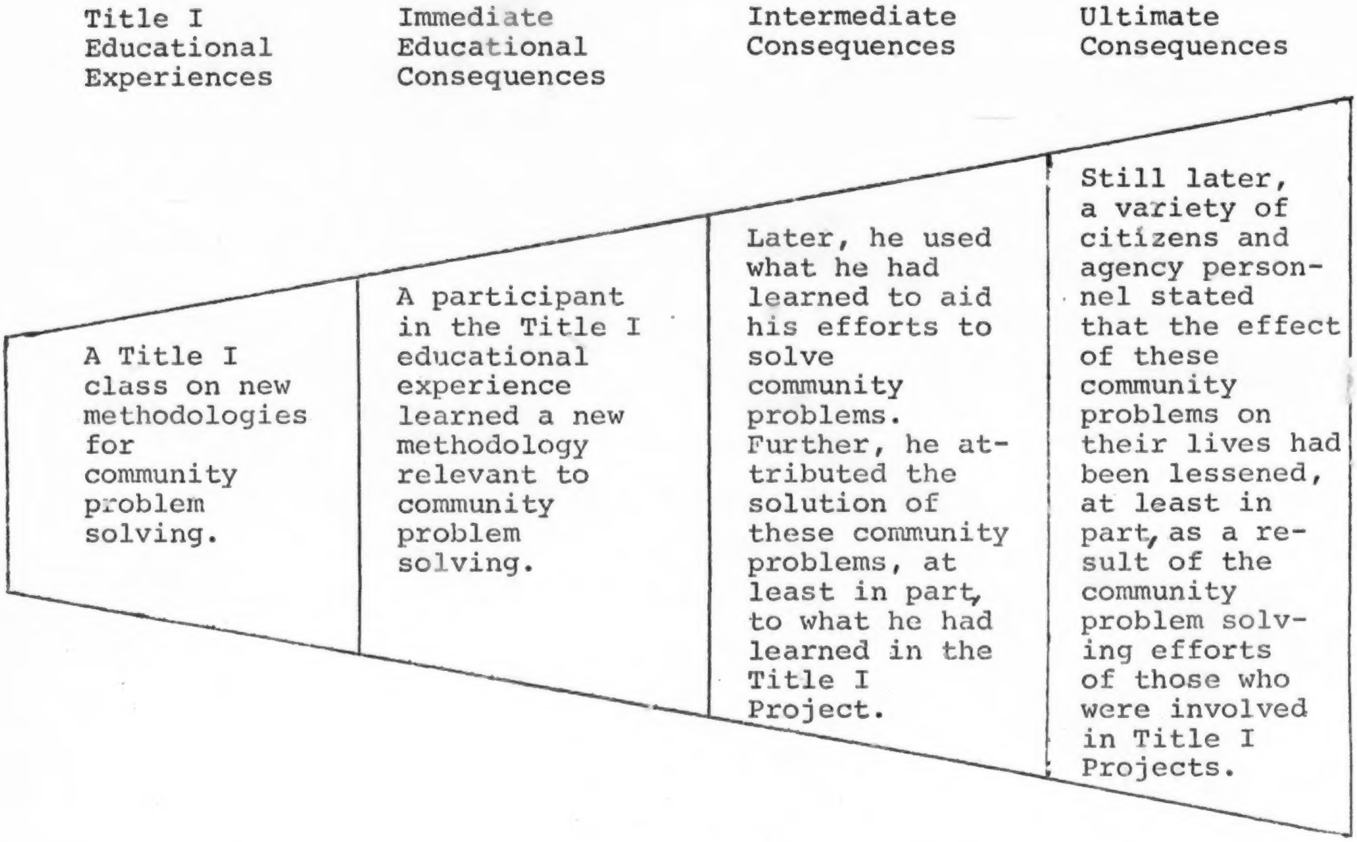
[7] In many instances those who imputed these consequences, voluntarily or at the request of the interviewer, produced evidence, which was a matter of public record or otherwise available, to document the nature of the claimed consequence(s). Copies of some of this evidence had already been place on file with the Coordinating Council's Title I staff in the form of quarterly reports. In other instances, new evidence of the imputed consequences of Title I projects in the State were identified in the evaluation. Such imputations became increasingly credible in the estimation of the evaluation team when, in fact, a range of elite interviewees independently pointed to similar consequences and imputed them to Title I projects.



Title I Educational Experiences	Immediate Educational Consequences	Intermediate Consequences	Ultimate Consequences
A Title I class on new methodologies for community problem solving.	A participant in the Title I educational experience learned a new methodology relevant to community problem solving.	Later, he used what he had learned to aid his efforts to solve community problems. Further, he attributed the solution of these community problems, at least in part, to what he had learned in the Title I Project.	Still later, a variety of citizens and agency personnel stated that the effect of these community problems on their lives had been lessened, at least in part, as a result of the community problem solving efforts of those who were involved in Title I Projects.

Fig. 5: Hypothetical Illustration of Imputed and Verifiable Consequences of a Title I Educational Experience

Distinguishing between intended and imputed consequences is important for both the programming and evaluation of Title I projects. While hoping for and reporting imputed, unintended consequences in the community, Title I project personnel have found it necessary to limit their programmatic intents to those which deal with providing educational assistance to community problem solvers. In contrast, the evaluator of Title I projects needs to focus his attention on imputed, unintended consequences in the community, since they provide a way of assessing both the relevance and the impact of Title I projects.

Summary

A rationale for relating resources of institutions of higher education to provide educational assistance to community problem solvers was presented in this chapter.

What seems to be called for in the Act was found to be the releasing of higher education institutions' resources through providing educational assistance to community problem solvers rather than becoming involved in direct action in solving community problems. It was the immediate concern, then, of Title I projects to provide educational assistance to community problem solvers. The intermediate and ultimate concerns of these projects were the consequences of that educational assistance in terms of community problems solved.

Title I projects in the State of California (1966-1971) have been focused ultimately on problems related to environment and ecology, inner city decay, community crisis, minorities and disadvantaged, and inefficient government. To move beyond seeking to deal with community problems in general, local Title I project personnel found it necessary to analyze the order of community problems. This permitted Title I projects ultimately to address higher-order community problems rather than lower-order problems or the problems of individuals in their programming.

Analysis of the evaluative data indicates that, in programming and evaluating Title I projects, it is important to distinguish between intended consequences and imputed, unintended consequences. Typically, the immediate intents of Title I projects were to provide educational assistance to community problem solvers. However, the ultimate value of Title I projects stand out when imputed, unintended consequences of the projects are identified and analyzed.

Once the nature of specific community problems to be addressed ultimately in a Title I project has been identified, local project personnel report that they have to relate educationally the resources of the higher education institution to particular phases of community problem solving.

The linkage between the educational resources in institutions of higher education and community problem solvers was accomplished typically by providing diagnostic seminars, training classes, workshops, and student field experiences as well as by programming for research, counseling and guidance, and the use of the mass media.

Many of the strengths and weaknesses in particular Title I projects evaluated were found to stem from the extent to which local Title I project personnel were able to accomplish the following conceptual tasks: (1) analyzing of the order of community problems to be addressed; (2) determining how to relate the resources of the higher education institution to provide educational assistance to community problem solvers; and (3) distinguishing between immediate, intended consequences and intermediate and ultimate, unintended consequences.

CHAPTER IV

EVALUATIVE FINDINGS: ALTERNATIVE INVOLVEMENT MODELS

The Title I projects that were evaluated varied markedly in the way in which they went about releasing resources of higher education institutions to provide educational assistance to community problem solvers. The analysis of the evaluative data led to the inductive identification of five alternative models, as well as one comprehensive theoretical model. These models depict the major ways in which faculty members, students, agency personnel, and persons from target populations were involved in Title I projects. Some projects place primary emphasis upon involving faculty members in educationally assisting community problem solvers. Projects with this emphasis can be called the Faculty Involvement Model. Other projects focused primarily on involving students, or agencies, or target populations in order to assist educationally in the community problem solving process. These projects can be referred to respectively as: the Student Involvement Model; the Agency Involvement Model; and the Target Population Involvement Model. Still other projects sought primarily to involve faculty members, students, personnel from agencies, and/or persons from target populations in transactive seminars to assist educationally in the community problem solving process. By so doing, they developed what can be referred to as the Transactive Involvement Model. Together these five models can be called involvement models.

Each of the Title I projects in the State between 1966-1971 was found to have focused on one of these ways to relate higher education resources to provide educational assistance to community problem solvers.

The percentage of the Title I projects which utilized each of the five involvement models is indicated in Table 9.

TABLE 9

PERCENTAGE OF TITLE I PROJECTS WHICH UTILIZED EACH TYPE OF INVOLVEMENT MODEL

(N=97 projects)

Type of Involvement Model	Percent of Projects Which Utilized Each Type of Model
Faculty Involvement Model	25
Student Involvement Model	13
Agency Involvement Model	29
Target Population Involvement Model	14
Transactive Involvement Model	19
Total	100

A description of how each of these involvement models was implemented in the Title I projects evaluated and their consequences is presented below along with indications of the strengths and limitations of each model.

The Faculty Involvement Model

The faculty in higher education institutions, including both regular and extension faculty members, and their knowledge constitute an extensive and potentially useful resource for those who seek to solve community problems. In seeking to release resources of institutions of higher education to assist educationally in the solution of community problems, Title I projects in the State have often focused on the faculty as a resource. Very few projects, if any, completely ignored this resource. Approximately 25% of the projects, however, place primary emphasis on involvement of faculty members and can be said, therefore, to have used the Faculty Involvement Model.

Implementation of the Faculty Involvement Model

When this model was used, the main task of the project staff generally was to identify faculty resources relevant to community problem solving. Efforts were then made to release these faculty resources, either through research, teaching or consultantships, thereby providing educational assistance to those engaged in community problem solving from agencies or target populations. The resulting relationships are depicted in Figure 6.[8]

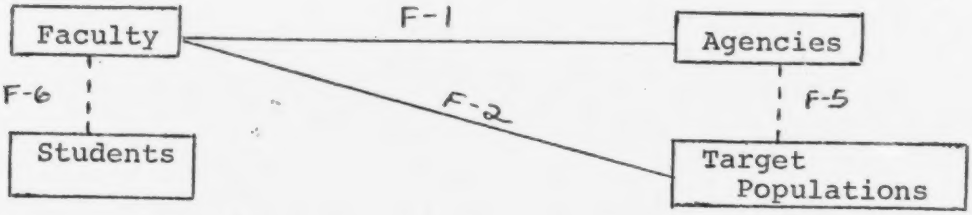


Fig. 6: Faculty Involvement Model

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[8] In Figures 6 to 11 specific functional relationships between faculty, students, agencies, and target populations are designated F-1 to F-7. Local Title I project staff typically facilitate the establishment and maintenance of these functional relationships.

In Title I projects which used this model, faculty members: (1) taught courses for persons from agencies or citizens groups which were seeking to solve community problems; (2) served as consultants to agencies or groups of persons in target populations which were involved in community problem solving; and (3) provided research and information to community problem solvers. In addition, faculty members helped initiate, conceptualize, and write Title I project proposals, ran projects on a released-time or on a part-time basis, and trained students as staff personnel.

Most frequently involved, in Title I projects that utilized the Faculty Involvement Model, were faculty members from departments of political science, social science, applied behavioral science, sociology, business, law, education, and urban planning. Also utilized were faculty members from departments of linguistics, agriculture, public health, and public administration.

The following are illustrations of the variety of activities which occurred in Title I projects using the Faculty Involvement Model:

1. The University of California Agricultural Extension, Davis under Title I funding engaged faculty members in implementing a research design which collected data on the agricultural and business activity in a four-county area. The county assessors and their staffs were trained in the techniques for continuing this data collection.
2. The University of Southern California conducted courses

for the education of municipal leaders in the effective utilization of computer-based information systems.

3. The University of California, Berkeley provided a design center for civic, governmental, and professional leaders in dealing with the problems of urban environments. Faculty members and students consulted on ways to solve problems related to pedestrian traffic, community design for poverty areas, plans for the housing of tenement families, and plans for landscaping and making provisions for human ecological space in the Berkeley area.
4. The United States International University conducted research on the "Preparation and Use of an Employment Sensitive Economic Model for the San Diego Metropolitan Area." The results of this research were provided to the San Diego Chamber of Commerce and to businessmen who were concerned about the unemployment problems of San Diego.

Consequences of the Faculty Involvement Model

Agency personnel and persons from target populations who participated in 14 Title I projects which used the Faculty Involvement Model reported that they had learned new theories, methodologies and techniques relevant to community problem solving. In four projects, faculty research efforts were focused on community problems and on the community problem solving process relevant to those problems. The results of these projects were made available to community problem solvers who have reported that they were helped by these findings to become more fully aware of the nature of the community problems and of alternative solutions to them.

Faculty members reported having received consultant fees, salaries for having been project directors, and credit for research undertaken. Over 75% of the faculty members interviewed said that they thought that involvement in Title I projects had made their teaching more relevant to community problems. For example, two faculty members who provided a project feasibility study on police-minority relations reported that the understanding they gained through this research was very useful in the teaching of their regular courses. In addition, it gave them contacts with the police department and the minority community which they would not have been able to develop otherwise. A faculty member in another project reported the following:

> When I came back into the classroom, the students who knew what I had been doing out in the community really 'turned-on' to me. It opened doors for me with them.

In addition, faculty members indicated having received personal satisfaction from doing what they believed was important on humanitarian grounds or out of their concern for society. One project director said, "I saw the problem and had to do something."

Faculty members found themselves playing a new role. Sometimes they interpreted the community to the faculty and the administration. At other times, they interpreted the higher education institution to the community.

The role of the faculty was not always an easy one. In nine Title I projects which used the Faculty Involvement Model, faculty members reported having found it difficult to communicate with or gain acceptance from community problem solvers in agencies and in target populations. One Title I project staff member reported:

> Not all faculty were of help in the community. A few were inferior teachers and could not communicate to citizens without alienating them or boring them. A few also lacked transcultural qualities. In addition, some faculty were resented by the community when they charged too much for consulting fees or disrupted the community to do their own research which did not benefit the community.
>
> A faculty member indicated:
>
> It is very difficult to get these marginal businessmen to recognize that there is a body of knowledge that could help them solve their problems. They see their problems as immediate, such as how to fire a relative who is hurting the business. They have to get into trouble before they are willing to receive help. In many cases we were not invited in, even though it was obvious that they could use our help.

The way in which faculty members conceptualize or describe community problems and the nature of solutions to them often is quite different from the way the community problem solvers view the problems and how to solve them. Moreover, faculty members reported having experienced forms of rejection from fellow faculty members who were negative to any form of public service. On one campus, a faculy member observed:

> There is political pressure not to be involved. The feedback you get from faculty is: 'Watch out.' There is no pay-off for doing community service. Even the rewards for teaching is a lot of rhetoric. They call community service 'Mickey Mouse.' The only thing that pays off is a certain kind of research.

On another campus, the following was reported by a faculty member:

> The only way you can do this and get away with it is to have a tenured high-ranking faculty member in your department cover for you.

When faculty members who had participated in Title I activities were asked how the reward system in their higher education institutions paid off for this type of involvement, their answers ranged from "zilch" to "possibly it is taken into consideration for merit review as a bonus, but not as a substitute for research or teaching." Faculty members who served as Title I project directors on a part-time, release-time basis, often found themselves working virtually full-time on the Title I project without having been commensurately released from their other academic responsibilities. One faculty member who ran a project reported:

> I ran the project on a quarter-time basis. I ended up working almost full-time on top of doing my regular teaching load.

This type of part-time assignment usually has been a short-term arrangement. Having a project director whose main responsibilities are elsewhere and who can remain with a project for only a short period of time has been found to be disruptive both for the faculty member's academic career and for the continuity of the Title I efforts in the higher education institution. One project director said:

> I worked the project on a released-time basis on regular salary. You can do this for only a year or so.

Strengths of the Faculty Involvement Model

The Faculty Involvement Model has frequently been used to get Title I projects at least minimally operational within a short period of time. Those who have utilized this model have found that bodies of knowledge known to faculty members can sometimes be released to assist in community problem solving. When this is done well, the faculty, the community problem solvers, and indirectly the community may benefit. Moreover, some form of faculty involvement is usually desirable in implementing each of the other involvement models.

Limitations of the Faculty Involvement Model

This model places primary emphasis upon the faculty and their organized bodies of knowledge rather than upon the educational needs of community problem solvers. The form or content of these organized bodies of knowledge may not relate well to the community problems. In addition, not all faculty members who have particular types of knowledge or expertise may be able to teach effectively or otherwise communicate specialized knowledge to agency personnel or persons from target populations. Moreover, as indicated above, the faculty reward systems in virtually 100% of the higher education institutions seem to provide little incentive to faculty members for involvement in community service programs.

Fortunately, ways have been found in many of the evaluated Title I projects to involve faculty in projects which use other involvement models. By so doing, the strengths of the Faculty Involvement Model are realized while some of its limitations are avoided. Examples of how these limitations have been avoided through the utilization of other involvement models are presented below.

The Student Involvement Model

In the Student Involvement Model, primary focus in a Title I project is placed on involving students educationally in assisting in the problem solving efforts of agencies (designated in Figure 8 as F-3) or educationally in assisting in the problem solving efforts of target populations (designated in Figure 8 as F-4). Approximately 13% of the Title I projects evaluated used the Student Involvement Model. Usually they did so by relating students to agencies rather than to target populations. This approach permitted the students to engage in community problem solving activities under the supervision of the agencies' personnel and in the name of the agencies. These activities are designated as F-5 in Figure 7. In six of the 13 Title I projects which utilized the Student Involvement Model, arrangements were made to involve faculty (designated as F-6 in Figure 8) in providing academic supervision for the students' field experiences and to legitimatize academic course credit for engaging in these activities.

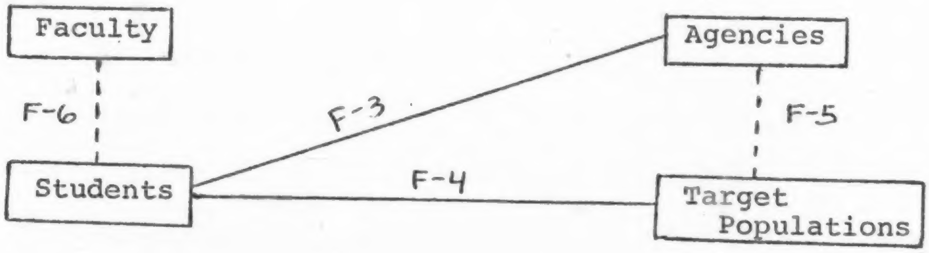

Fig. 7: Student Involvement Model

In total, approximately 13,000 students became involved educationally in community problem solving activities in those Title I projects which used the Student Involvement Model. The vast majority of these students were involved in the Title I project at California State College at Los Angeles. The personnel there reported that during the past five years over 12,000 students participated on the basis of 4-15 hours per week for at least one quarter in a student field experience program called: "Educational Participation in Communities (EPIC)." These students have worked in over 100 agencies, tutoring children, assisting teachers in nearby schools, providing recreation programs, working with senior citizens and mental patients, and providing help (to governmental agencies) as interns. Over thirty faculty members have assisted in this project as well. Members of the EPIC staff also reported that they estimate that over 25,000 persons in the community, not including the 12,000 students, have benefited directly as learners from the project. Three books and several research reports have been produced as a result of this project. The EPIC model is now being replicated in a consortial effort between California State College at Los Angeles and San Fernando Valley State College, California State College, Long Beach, California State Polytechnic College, Kellog-Voorhis, and California State College, Dominquez Hills. Requests for the EPIC model have come from all over the nation. In response, a regional conference is being held in May, 1972, in order to make it possible for the model to be replicated on other campuses.

The Student Involvement Model provides primarily an educationally-oriented rather than a service-oriented experience for the students. Approximately 60% of the students interviewed reported that they were using these experiences to test vocational choices. Approximately 20% were involved primarily to get experience in community problem solving in preparation for going into professions which called for such competencies. Approximately 20% of the students indicated that they participated in these field experiences in order to broaden their acquaintance with types of persons or aspects of reality with which they had had little or no previous contact. A student who participated in the EPIC Project reported:

> The EPIC experience decreased some of our frustration with the community agencies because we could see what they were up against and where they were trying to go. We had a chance to help with some changes. It also helped us to discriminate in our studies as to what was important for us to learn for the future.

While the experiences were designed to be primarily educational, they also provided opportunities for students to engage in real community problem solving under professional supervision. It was reported that the students in Title I projects provided supplemental staff for 104 agencies, making it possible for them to expand their programs as well as their capacity to provide the students with opportunities to engage in supervised community problem solving. In at least five agencies, students were included in staff meetings.

Under the auspices of the agencies and under the supervision of their personnel, students engaged in a number of types of community service activities. Some of the institutions in which each type of activity was undertaken by students are noted in parentheses after the activity cited in the following list:

1. Tutoring elementary and secondary students (University of San Diego and California State College at Los Angeles);
2. Assisting teachers in pre-school, elementary, high school, and higher education (Los Angeles City College and California State College at Los Angeles);
3. Providing recreation in various settings (California State College at Los Angeles);
4. Visiting and working with senior citizens (California State College at Los Angeles);
5. Providing paraprofessional help in mental hospitals and clinics (California State College at Los Angeles);
6. Developing educational experiences in youth authority facilities (San Francisco State College);
7. Providing counseling and guidance to potential continuing education students (San Francisco State College and Los Angeles City College);
8. Collecting information and research data for agencies (University of California at Davis and University of California at Los Angeles);
9. Observing and interviewing professionals in agencies and government about particular community problems (Chico State College and University of California at Davis);
10. Counseling at drug clinics and working as assistants to administrators' (California State College at Los Angeles);
11. Distributing and disseminating educational information

and literature (San Diego State College, Los Angeles City College, and East Los Angeles City College);

12. Helping citizens identify problems and plan ways to solve them (University of California, Los Angeles);
13. Performing in music, drama, and art festivals in the community (University of California at Santa Barbara); and
14. At California State College at Los Angeles, Chico State College, and San Francisco State College students were employed as staff to assist in recruitment, selection, orientation and placement of students with agencies.

Role of the Project Staff in Implementing the Student Involvement Model

In Title I projects which utilized this model, the project staff typically contacted and screened agencies, set up standards of agency supervision for students, and interpreted to the agencies the students' educational objectives. It was usually necessary for the staff to initiate and develop the mechanism for communication and coordination between the agencies and the higher education institution. At one institution, for example, a Title I project director stated that his primary task was to get community-based educational experiences organized. He said:

> I work from professor to professor and from department to department. I describe potential community-oriented activities in which students can become involved. We work out educational objectives in terms of competencies which the students are to attain in the field experiences. Then I make arrangements with agencies for the specific field experiences to be offered in each course.

When the field experience was being done for course credit, the staff often had to recruit faculty and implement a process of accountability that involved feedback from agencies and student coordinators to the faculty members concerning the students' performance. Virtually 100% of the faculty members who were interviewed concerning their involvement in Title I projects which used the Student Involvement Model expressed appreciation for the efforts of the Title I personnel who had assisted them in making contacts and arrangements with agencies for specific field activities in which students could relate to their academic courses.

In three institutions which used the Student Involvement Model in Title I projects, no academic course credit was given for field experiences. In nine institutions, less than 10% of the students involved in field experiences received academic credit. At San Francisco State College, however, all students who participated in the field experiences provided by the Title I project did so for academic course credit. Faculty involvement, moreover, was made an integral part of the Student Involvement Model as it was used in this institution. In addition, faculty members from the Ethnic Studies Department were an integral part of any part of the project where ethnic community was involved. At San Francisco State College, students participated in field experiences in the community for nine units of credit involving three faculty members in three different disciplines. An attempt was made to integrate the theory of each discipline with the inductive learning of the field experience. The following quotation from one of these faculty members illustrates the faculty point of view in this project:

> I wanted to get in on the real phenomena beyond the one-stage-removed theory in my field. I participated in the student internship program in Chinatown. I worked with a class of Chinese students in looking at urban geography from inside the city. I now have grass roots, experiential phenomena to point to in teaching my other classes. It has challenged me professionally.

Role of the Higher Education Institution in Implementing the Student Involvement Model

Without the official support and sanction of the administration and other decision making bodies in the higher education institution, implementation of the Student Involvement Model was often found to be difficult or impossible. Having administrative support and the support of department chairmen, deans, and faculty senates behind such efforts greatly strengthened the programs. In one institution, getting administrative support was essential and critical in having the field experience recognized for academic course credit. In another institution, although the administration expressed support for the granting of academic credit for field experience, this action was partially blocked by the faculty.

Administrators of higher education institutions had a wide variety of reactions to student field experiences in Title I projects. In five institutions, administrators reported that they viewed the students as providing a positive public relations image for the higher education institution. In three of these institutions, administrators, students, and faculty members who were interviewed saw the student activity as releasing the energies of action-oriented students off campus instead of on campus, thereby redirecting the potential of student demonstrations.

One student of California State College, Los Angeles, said:

> I think that the EPIC program has been one of the main reasons that we haven't had student disruptions on a large scale on our campus even though we have 50% minority students. The students have seen through the program how they can bring about change in agencies. They feel that they have a way of doing something about the injustice in society. They also are making their education relevant to changing society.

Where higher education institutions were under social pressure to relate to disadvantaged populations, the administrators could point to student involvement as evidence that the higher education institution was involved and not unconcerned.

In one institution in which the faculty were involved and the field experiences were offered for academic credit, administrators interviewed reported that they were very enthusiastic about the growth of community-based education which was tied in to the regular curriculum. They saw what was being provided by the Title I projects as a creative wedge to revitalize the teaching function of their higher education institution and said that they evaluated it highly in terms of merit review for the faculty who were involved. Administrators in six institutions, however, said that they found it difficult to conceptualize how field experience could be related to the traditional student unit credit system based on clock hours spent in class.

Consequences of the Student Involvement Model

Students have reported the following educational consequences of their participation in field experiences:

1. They learned about themselves and human relations.[8]

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[8] The director of one agency observed: "The students have been working with patients in our mental health clinic. They have been of immense help to the patients. The students have learned a lot about themselves and about human relations. They tell me that this experience ties in with their course work in psychology."

2. They learned about problems of target populations first hand.
3. They learned about the agencies and the problems they faced.
4. They learned from trying to relate their formal education to the world of everyday living.[9]
5. They learned about occupational specializations that were being practiced in these agencies.
6. They reflected upon their own social values and struggled with problem identification related to the major problems of our society.

Students also reported the following noneducational consequences of their participation in field experiences:

1. They made new friends and contacts out in the community.
2. They got jobs through the references and job experiences.
3. They experienced positive feelings about themselves being able to help other people.

Students who participated in Title I projects which utilized the Student Involvement Model reported:

> I really enjoy helping people with their educational problems. I found out that people really needed help and I really enjoy helping.

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[9] A graduate student reported: "All of us are in a M.A. program in Special Education. We wanted to relate what we were learning and how to practice it. We also wanted to gain knowledge of Indians and how to become better teachers. Our purpose in tutoring is to build a bridge between our formal learning and everyday experience. We aren't going in as teachers or foster parents, but as old friends." Another student expressed the following: "Education is more than what you get in the classroom. We are learning from the community. I got more out of this than any class I ever took."

> The test of this internship program is the product. There are now 20 students who are employed in the community agencies where they interned. As a result of the program, there are also 26 on-call volunteer counselors available to kids who are in trouble.
>
> Our student coordinators are in great demand for jobs. They have learned management skills that go far beyond their years. Their practical job training places them far ahead of those who only have academic background. Our graduates are in very important positions in agencies now.

In five agencies it was reported that students had continued their involvement with the agencies on their own after the program had introduced them to the value of the experience. In four higher education institutions it was reported that there has been a tendency for students to seek further courses or programs involving field experiences. In other words, there has tended to be a multiplier effect in the direction of creating a voluntary society (Shindler-Rainman, 1971, p. 100).

Faculty members who were interviewed reported that working with students had caused them to have to rethink the way in which they conceptualized their teaching and their teaching methods. Over 75% of the faculty members interviewed concerning Title I projects which utilized the Student Involvement Model were concerned, however, about how to relate students' performance in field experience to a classroom-oriented system in which academic credit is given for time in class.

The agency personnel who were interviewed indicated that the students usually brought genuine enthusiasm and caring, strengthening contacts with clients and often transcending age, class, and racial barriers. Personnel at three agencies indicated that students provided a form of informal, in-service training for agency staff which would not have occurred otherwise. For instance, a school principal in Los Angeles reported the following:

> The college students teach 'ethnic pride' in our elementary school. It has really helped to change the attitudes in this all-black school. The teachers have learned a lot about black history from the students. The college students provide in-service training for our teachers in this area. I have the highest respect for all the college students who have come and especially for the student coordinators who have worked with our staff and with our students.

Agencies also reported having benefited from new contacts with faculty members who were introduced to the agency personnel by students. In five agencies, it was reported that procedural changes which had been suggested by students were implemented by the agencies.

Administrators in four higher education institutions indicated that in their estimation the public image of the higher education institutions had been improved through the student field experience programs. Increased enrollments were also claimed as a result of the student contacts. For instance, a member of the staff of a Title I project in San Francisco State College reported the following:

> The students working in the agencies have encouraged adults to enroll in college and continue their education. The college was able to establish an extension unit in our community to serve the people recruited by the students. Twenty-four new full-time students have enrolled and are now attending college from this community because of the students in field experiences.

Virtually 100% of the administrators interviewed were particularly positive about faculty involvement in Title I projects which used the Student Involvement Model when it could be shown that these experiences were definitely related to the curriculum and that a system of accountability had been established.

Strengths of the Student Involvement Model

The Student Involvement Model provides the following strengths:

1. It can involve large numbers of students rapidly and effectively when the program is well administered.
2. It can be comprehensive, involving faculty members, students, agencies, and target populations.
3. It can provide strong positive consequences for faculty members, students, agencies, and target populations.
4. It has met with positive acceptance in most institutions where it has been used.
5. It has the potentiality for being adopted and supported financially by the student body and the administration.

The latter has been the case at California State College at Los Angeles where, after two years of Title I funding, the project became self-supporting from student body funds, funds from the State College, and funds from the State College Foundation.

Limitations of the Student Involvement Model

The Student Involvement Model has been found to have the following limitations:

1. It is subject to instability which can be caused by changing interests of students on campus, changing leadership due to student and faculty mobility, and changing community climate which may limit the use of students by agencies.

2. It tends to be limited to the orders of problems with which students can work. Higher-order problems are not likely to be addressed through the exclusive use of this model. (This model may be an excellent addition to the Agency Involvement Model or the Transactive Involvement Model described below.)
3. It is difficult to supplement this model with faculty involvement due to the lack of faculty preparation in community-based teaching methodologies, the lack of institutional acceptance of criteria for student accountability for credit, and the lack of faculty-agency feedback mechanisms for student supervision.
4. It is sometimes disruptive for students and agencies when field experiences terminate at the end of a quarter or semester rather than at the end of a field experience.

The data indicate , however, that the strengths have far outweighed the limitations when this model was adequately implemented. Title I projects using the Student Involvement Model seemed to have functioned particularly well under these following conditions:

1. when the students have been given an opportunity to be involved in community problem solving efforts related to their academic goals and under competent agency supervision;
2. when faculty members have been actively involved in setting up accountability criteria for course credit through internships, including community-based educational experiences;

3. when Title I staff has established a long-term relationship with agencies with joint development of standards in the supervision of student field experiences by the higher education institution and the agency;
4. when Title I funding provides long-term, contingent funding so that agencies can plan on the basis of a relatively stable student volunteer pool;
5. when part-time paid student coordinators have been designated for each agency in order to provide orientation for students as well as communication between the agency and the higher education institution's faculty and administration;
6. when student coordinators have been given agency staff status during the field experience; and
7. when agencies have been required to submit evaluation reports on students' performances to faculty members.

On the whole, the evaluation team was impressed with the extent of the acceptance of this model on the part of students, agencies and target populations, faculty members, and administrators.

Agency Involvement Model

Almost without exception the Title I projects in the State involved agencies in some aspect of what they did. However, 23% of the funded projects over the five years primarily involved agencies, relating higher education resources to their educational needs. This approach to the utilization of Title I funds can be referred to as the Agency Involvement Model.

Implementation of the Agency Involvement Model

When the Agency Involvement Model was used, the main focus of the Title I project was to provide educational assistance to community problem solvers in agencies by relating relevant resources in the higher education institution to them. The nature of this relationship is depicted in Figure 8.

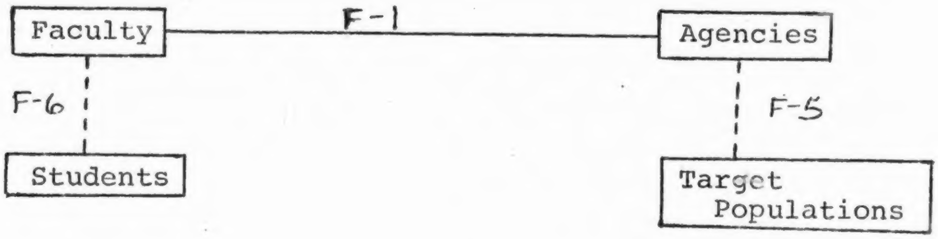

Fig. 8: Agency Involvement Model

The Title I projects which utilized the Agency Involvement Model provided training and other forms of education relevant to community problem solving for personnel in several hundred agencies and associations of the following types: federal, state, county and municipal agencies; health, education, and welfare agencies; business and professional associations; farm agencies; and voluntary associations.

This education was sometimes provided for an individual agency; sometimes for different agencies clustered for training of a specific type.

The following are illustrations of the variety of specific activities which occurred in Title I projects when agencies were the primary focus:

1. The city managers of Orange County requested that the

Public Administration faculty at Fullerton State College provide a variety of training workshops through a Title I grant. Agency and municipal employees received training in public finance, data processing, governmental relations, city management, recreation and parks planning, school finance, city planning, and planning for public transportation.

2. The University of California, Los Angeles, through its Title I project, provided technical assistance to the Pico-Union Neighborhood Council (PUNC). Leadership training was initiated and a community center was opened. Faculty consultants assisted the agency in acquiring funding for the development of a community park and the construction of low income apartment units.
3. The Universities of California at Davis, Riverside, San Diego, and Santa Cruz conducted extensive training for the local Office of Economic Opportunity (OEO) delegate agency personnel through Title I projects over a five-year period.
4. The University of California, Riverside, through its Title I project, provided training for community aides for the Public Health Community Worker's program.
5. The University of California, Santa Cruz, through Title I funding, provided agency training for the Unified School District Parent Advisory Committees as well as staffs of Head Start Day Care Centers, a Welfare Rights Organization, and Model Cities programs.

Role of the Project Staff in Implementing the Model

In the Agency Involvement Model, the Title I project director generally began by identifying agencies which were requesting or could potentially use the educational resources in the higher education institution in their community problem solving efforts. To the extent that these educational needs could be appropriately matched with educational resources existing in the higher education institution, the project staff sought to bring about this matching of educational needs and resources. It was reported that the project staff's ability to involve agencies and their personnel in this type of training has often been facilitated by the fact that the education is offered in the name of and under the auspices of a prestigeous higher education institution. In the process of responding to requests for particular types of training, project staff frequently assisted agencies in identifying other training needs which could be met by educational resources within the higher education institution. At times they have been asked by agency personnel to provide noneducational resources from higher education or from the Title I project. Project staff have reported that they tried to make it clear that providing noneducational resources was not within the intent of the Title I Act, and they frequently assisted agency personnel in identifying alternative sources of funding and other desired noneducational resources. Project staffs, for instance, at the University of California, Los Angeles, University of California, Davis, University of California, Santa Cruz, Humboldt State College, San Francisco State College, and San Diego State College were instrumental in assisting agencies in procuring alternative sources of funding.

Role of the Agencies in the Agency Involvement Model

For their part, agencies frequently have surveyed formally or informally the educational needs of their personnel and, in some instances, of the target populations. This has led to requests for: (a) faculty consultantships; (b) educational courses, workshops, and conferences; (c) student assistance; or (d) research and demonstration from the higher education institutions. With the assistance of the Title I project personnel, the sponsoring agencies have planned these events, recruited participants, and disseminated research findings and proceedings from workshops or conferences.

Role of Faculty in Implementing the Agency Involvement Model

It was primarily the expertise of the faculty members and their willingness to be involved in making this expertise available to agencies through consulting, teaching or research, and demonstration, which made the model work. At times students have been involved in assisting faculty members in seeking to provide educational services at the request of agencies in Title I projects.

The major use of the faculty members in consultantships, teaching, and research and demonstration activities through Title I projects by agencies was to diagnose community problems which they had been unable previously to understand or deal with adequately and, further, to seek to identify alternative solutions to these problems.

The Agency Involvement Model tended to function well under the following circumstances: (1) when the request for educational assistance was identified adequately and specifically by the agency; (2) when the request was clearly understood by the responding faculty; (3) when the request for known information matched known problems; and (4) when the request was for assistance in diagnosing problem areas, with no expectation that a "correct answer" would be provided. Things did not go well, however: (1) when there was not a close match between skill, methodology or technique requested by an agency and what could be provided by the higher education institution, or (2) when the faculty members provided (or were perceived as having provided) generalizations as if they were prescriptions rather than sources of understanding in diagnosing and solving community problems.

Consequences from the Utilization of the Agency Involvement Model

Agency personnel in Title I projects using the Agency Involvement Model reported in interviews that the educational assistance which they had received through courses, workshops and conferences, or through faculty consultantships, research and demonstrations helped them to more adequately: (1) understand the nature of community problems or components of them which they were seeking to solve; (2) update their knowledge about technologies and procedures relevant to community problem solving; and (3) identify and obtain new sources of funding to expand their community problem solving programs.

In addition, they reported that, as a consequence of what they had learned, new ways were found to expand their service areas, new types of services were provided, and new problems were addressed and solved. For instance, a number of agency personnel who participated in the Title I "Change Agent Program" at Riverside indicated that their agencies had been able to make changes which increased their services. Agency personnel from the Riverside County Department of Public Welfare reported that, as a direct consequence of this Title I project, their agency had made provision to have some of their offices open in the evenings.

At Chico State College it was reported that almost all of the municipalities within Butte County had adopted new procedures for the release of prisoners on their own recognizance at least in part as a result of the Title I project activity in consulting and research on the issue. It was reported that these procedures are now being taught in the Police Science courses in a Community College in the area.

It was also reported that the relationships between agencies have been strengthened at times as the result of their working together to co-sponsor, plan, implement, and follow-up programs initiated by Title I programs. This happened extensively, for example, in the "Change Agent Program" provided by the University of California, Riverside. Several agency participants claimed that the development of new inter-agency relationships was a main outcome of that project.

A city manager expressed the opinion that the personal relationships and contacts that had been made through a Title I program led to the organization of a county-wide association of public administrators.

Agency administrators reported that their employees received new skills, new information, better ways of viewing the problems with which they were working, and therefore were able to perform more adequately in their jobs as the result of training received in Title I courses, workshops, or conferences.

Some of the agency employees received certificates or other documents attesting to their having received specific types of training in Title I projects. It was reported that personnel were able to use these documents as evidences of having raised their competency levels in their occupations. These documents also helped them in obtaining new jobs.

Personnel in eight agencies reported that their attitude toward the higher education institutions which provided educational services became more positive as they increasingly perceived these institutions as having educational resources which could and were meeting their educational needs. For example, an administrator of a local Anti-Poverty Agency said:

> The University of California, Santa Cruz provides courses for administrators and personnel of poverty programs. They have large enrollments and make a profit from it, but it is worth it. It is great and we need these skills.

Educational activities, moreover, which started as a "one time experience" were found to be of sufficient value by the agency(s) to be scheduled subsequently on a regular basis. For instance, the project director of a Title I project at Fullerton State College said:

> We were surprised at the number of people who came to the seminars and that the demand continued for five years. Moreover, new courses were requested by the city managers, School Superintendents, Agency directors, and their employees.

When agencies decide to rely on a Title I project for continuing and long-term educational services, they constitute a new and continuing clientele. The fees which these agencies pay for educational services have been found to be an excellent source of supplemental and on-going funding for community service programs in higher education institutions. In addition, administrators and faculty members imputed that Title I projects which used the Agency Involvement Model favorably affected their higher education institutions.

In four higher education institutions, new courses which had been instituted in Title I projects were subsequently instituted as undergraduate or graduate courses. A faculty member of Fullerton State College reported the following:

> Our courses in the Public Administration Department were changed as a result of suggestions from the city managers and their employees who participated in training offered in our Title I project. New courses in decision making, systems analysis, negotiations, and contemporary problems have been added.

At the University of California, Riverside, it was reported that the development of a Certificate Program in City Planning had resulted as a "spin-off" of the Title I project at that institution. Faculty at San Fernando Valley State College reported that the most important consequence of a Title I project was the discovery of a community need, which, while it was not immediately solved, led to development of a new undergraduate option within a major. It was also reported at Fullerton State College that the response to the Title I programs in public administration personnel training was so extensive that it led to the development of an external graduate degree program in Public Administration offered in Santa Ana.

Strengths of the Agency Involvement Model

The Agency Involvement Model is perceived as having the following strengths:

1. It can be used to build the capability of the agencies to expand and improve their services through the training of their personnel in new methods and technologies relevant to their community problem solving activities.
2. It can be used to build the capability of the higher education institution through establishing an ongoing clientele who are willing to pay for training and educational services for old and new employees who need new and updated skills. Part of agency budgets can be or must be spent on the continuing education of employees. This source of funds for Title I projects can strengthen the capability for providing additional educational problem solving activities for other clients or for other parts of the Title I project.
3. It has been found to be particularly useful in releasing technical and theoretical capabilities of faculty in response to specific educational needs, as defined by the agencies rather than as defined by the faculty members.

Limitations of the Agency Involvement Model

The Agency Involvement Model has been found to have the following limitations:

1. Requests from an agency for educational services tend to be expressed in terms of the agency's perspective of community problems and ways in which its personnel deal

with these problems.

2. As with the Faculty Involvement Model, a particular higher education institution may not have the technical educational capabilities requested or needed by the agencies in its service area. An agency's educational needs cannot always be met from the nearest campus. Particular resources may be located at the higher education institution but for some reason they cannot be made available to those who request them. Or, resources may not be in a form which can be of educational help to the particular agency and its personnel to assist them in solving particular community problems.
3. The use of the Agency Involvement Model has been found not to work well under the following circumstances:
   a. if a higher education institution (or one of its components) acts as if it were an agency (by providing noneducational services which are normally provided or need to be provided by agencies in a community);
   b. if faculty members become involved in manipulating community problem solving through agencies; and
   c. if a higher education institution (or one of its components) continually or frequently responds to the requests for educational services from one agency or type of agency and fails to meet the educational needs and requests of other agencies.

The Agency Involvement Model and the Faculty Involvement Model both provide educational services to community problem solvers in agencies. The Faculty Involvement Model, however, does so from the perspective of what faculty members know. For this reason, agencies have been found to respond more favorably to educational assistance provided in Title I projects which use the Agency Involvement Model.

Target Population Involvement Model

Target populations have been defined in Title I projects in the following ways: (1) citizens who are affected by a particular type of problem including those related to housing, race and poverty, unemployment, smog, or transportation needs; or (2) citizens who reside in a "community" defined as a particular geographical area including ghettos, sub-standard housing areas, Model Cities target populations, parts of a city, a city, county, region, or the State.

Between 1966-1971, 14% of the Title I projects in the State primarily sought to involve target populations in order to assist them educationally in their attempts to solve community problems. In keeping with national and State priorities for several of the years between 1966-1971, many of the Title I projects addressed themselves to providing educational assistance to community problem solvers who were addressing problems of race and poverty.

Implementation of the Target Population Involvement Model

When the Target Population Involvement Model was utilized, the primary focus of the Title I project was to assist educationally the community problem solvers in target populations by relating them to relevant resources in the higher education institution. The nature of this relationship is depicted in Figure 9.

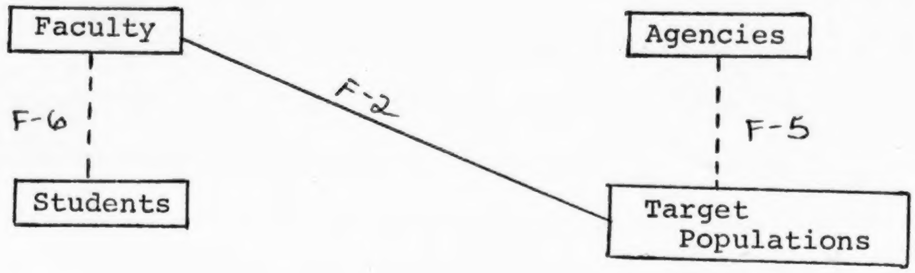

Fig. 9: Target Population Involvement Model

To implement Title I projects which primarily utilized the Target Population Model, six projects established educational centers in barrios and ghettos; twelve projects provided classes for target populations on the campus or in the community. Three projects sought to recruit persons from target populations as full-time students in higher education institutions. In addition, conferences, workshops, and community meetings were held at the request of persons in target populations to assist them educationally in community problem solving.

The following are illustrations of the ways that projects implemented the Target Population Involvement Model:

1. San Fernando Valley State College operated a center in the barrio of San Fernando for the purpose of relating the college resources to problems of minorities. Minority faculty members and students worked with community people on a variety of problems.
2. The University of California, Davis provided community development staff to Southeast Stockton. The Community Education Center which was established offered technical

assistance to citizen task forces in dealing with locally identified problems related to sewage, code enforcement, unemployment, transportation and housing.

3. Humboldt State College provided community development staff along with student interns to the low income community of Manila. A neighborhood organization was established in order to address problems related to voter participation, consumer education, environmental pollution, and recreation.
4. The Merced Community College Title I project provided staff to work with the minority communities of South Merced and Planada. The staff conducted a door to door survey to determine educational needs. Then they recruited minority citizens for classes offered by the college in the community and on the campus.
5. Los Angeles City College provided a Mobile Advisement Center for the undereducated citizens of East-Central-South Los Angeles. The couseling has been used by several thousand persons seeking educational and vocational counseling. It operated evenings in market parking lots and at public adult schools. Its main function was to recruit potential higher education students from minority populations.
6. The University of Redlands conducted three seminars for minority citizens in the methods and procedures for effective participation in the civic and political life in the community of Redlands. Citizens learned how the city

government, the regional Office of Economic Opportunity, the Board of Education, and the Probation Departments functioned from presentations and interaction with officials from these and other organizations.

Typically, citizens in the target populations requested:

1. assistance in more adequately understanding the nature of their problems and alternative solutions to these problems;
2. assistance in understanding how federal, state, and local agencies operated, particularly in relation to their role in dealing with these problems;
3. assistance in identifying ways to get more adequate agency services to help them solve these problems. In many instances, they wished to learn how to get access to particular agencies to learn how to express more adequately their needs, and to become involved with them in solving community problems.
4. assistance in attaining skills for participating in community planning and other problem solving efforts; and
5. assistance in learning how to assess needs more adequately in relation to the community problems affecting them.

Role of the Project Staff in the Target Population Involvement Model

In the selection of the Title I project staff when the Target Population Involvement Model has been the primary focus of a project, it has been found necessary for those hired to be able to work effectively both within the target population and with persons in the higher education institution. The effectiveness of project staff to a large extent depended on its being made up of transcultural individuals.

One way of providing transcultural personnel for the staff of a Title I project is to utilize minority students in the higher education institution as staff. For example, this was the case in Title I projects at Los Angeles City College, Humboldt State College, and Chico State College.

A second way of providing transcultural personnel in Title I staffs is to hire persons who live in the target community and who are recognized as community leaders. This was done, for example, at San Fernando Valley State College, Merced Community College, and the University of Redlands. While these persons often were able to facilitate the projects relating to target populations, they sometimes experienced tension from being identified both with the institution and with the community. One Title I employee commented:

> I was a community leader before being employed. I now experience conflict in wanting to be an advocate for my people. I am loyal to my community and want to identify myself with their cause. As a college employee I am identified with the college administration. It puts me in the middle, suspect from both sides.

A third way of providing transcultural personnel is for a project director to find ways to be accepted both by persons in the higher education institution and by those in target populations.

A Title I project staff which uses the Target Population Involvement Model has as one of its primary roles that of identifying educational needs of the target population. This has been done through:

1. reviewing requests for educational assistance from persons

in target populations; and

2. assisting citizens in target populations to identify their needs for educational assistance in community problem solving.

One project director described his task as follows:

> The director has to relate to the people, care about them, and respect them. He gets acquainted, and then discovers the key people who hold the respect of the people. He gets to know these leaders and listens to them describe problems. He is sensitive to the people's needs, expressed and implied. He does critical listening and helps the people see ways to satisfy their needs. He helps them focus upon their problems and to see them in new ways. He brings people together to talk about these problems. He helps them to identify resources and to get access to these resources. He sometimes helps them to write up statements of the problems and the proposals which have come out of group effort.

The Title I staff then typically sought to identify educational resources in the higher education institution which could be involved in meeting the community problem solving needs of the target population. In a very few cases, Title I project staff went further to help individuals with their individual problems. In doing so, they were assuming the role of an agency.

More appropriately, the staff of most Title I projects which utilized the Target Population Involvement Model performed the task of referring citizens and citizens' groups to agencies and other resources which could provide needed noneducational services, rather than attempting to provide these services with higher education institutions' or Title I projects' noneducational resources. For example, the staff that conducted the door-to-door educational survey in South Merced discovered immediately pressing individual needs. It became necessary in these cases to help individuals make contact with agencies which could help them directly.

In three projects the staff assisted the target population in the preparation and dissemination of information relating to methods and resources that could be useful to individuals in the solving of their own problems utilizing higher education resources in doing so. The staff in virtually 100% of the Title I projects which used the Target Population Involvement Model provided a liaison between the target populations and the higher education institutions. These staffs were often able to interpret the higher education institution to citizens in target populations and the needs of target populations to the higher education institution and its administrators and faculty. By so doing, they were addressing a very real need to bridge the communication gulf between minority populations and the institutions of higher education. Interviewees in target populations stated:

> If we wanted to try to get something from the college, we wouldn't know where to go or who to see.
>
> The college is like another town. We have never been on campus.

Role of the Citizens in Target Populations

Citizens in target populations became involved in educational activities provided by Title I projects which used the Target Population Involvement Model in the following ways:

1. They participated in Title I sponsored classes, workshops, conferences, and community meetings for the purpose of learning how to understand more adequately and to solve community problems that were affecting them.
2. They contributed many thousands of hours of volunteer time

to community problem solving efforts. For example, they worked on community problem solving task forces and they served on advisory committees in the higher education institutions and in agencies, providing citizen participation role perspectives to the deliberations of these bodies.

3. They made personal and group financial contributions to a few Target Population Involvement Model projects in order to expand the capabilities of the projects and to provide educational services.[10]
4. In most of these projects, they served as members of the Title I project's staff.

Role of Faculty Members

The faculty members were primarily involved in Target Population Involvement Model projects in teaching courses and in providing technical information to individuals and groups from target populations. At times target populations are reported to have had difficulty understanding faculty members. The following quotation illustrates some of this difficulty:

> The experts didn't come down to the community level. They used big words instead of common words so that the people didn't understand them. Half of the time the people didn't even know what they were talking about. The problem was even worse with the Spanish speakers.

In these instances there were language problems. Other difficulties resulted from differences in perspectives and differences in ways of conceptualizing the nature of solving problems. Persons from target populations reported that they viewed problems in terms of how they were immediately affected by them personally. For example, in one class consisting of persons from target populations, a discussion on housing problems was reported to have centered around the personal housing problem of one of the participants who interpreted everything about housing in terms of her personal situation. In contrast, the faculty members tended to perceive problems and solutions in terms of generalities.

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[10] For instance, contributions of this type were made to Title I projects at Humboldt State College, at San Fernando Valley State College, and at the University of California, Santa Barbara.

Role of the Agencies

Seven Title I projects which used the Target Population Involvement Model were able to involve agencies supplementally. This permitted both the agencies and target population to learn from each other about the nature of community problems, about potential solutions, and about their respective roles in community problem solving efforts.

Consequences to the Target Population

Individuals in target populations reported the following consequences of education received in Title I projects which used the Target Population Involvement Model. Some of the institutions in which these consequences were reported are noted in parentheses after each consequence cited below:

1. They acquired new skills in communication, organization, management, accounting, parliamentary procedures, and problem solving (University of San Diego, Chico State

College, Merced Community College, and University of California, Los Angeles).

2. They acquired greater ability to understand community problems and alternative ways of solving or coping with these problems, including an increased understanding of political decision-making processes and how they as citizens could have a participative role in these processes (University of Redlands, Humboldt State College, and University of California, Santa Cruz).
3. They were helped to overcome to some extent what some called the "poverty mentality" with its associated feelings of helplessness and hopelessness in relation to their ability to cope with or overcome immediate and long range community problems (University of California, Los Angeles, and Humboldt State College).
4. They expanded their awareness of and ability to acquire resources from higher education institutions, agencies, and other sources which could be utilized in their community problem solving efforts (University of California, Los Angeles, University of California, Santa Cruz, and University of California, Davis).
5. They were given an opportunity to develop leadership, which frequently enabled them to deal with certain community problems which had not been dealt with effectively before Some of these emergent leaders were elected or appointed to serve on governmental and agency commissions, committees, and boards where they were able to interpret and get resources allocated and policies changed, facili-

tating the solution of target population problems. Other emergent leaders reportedly addressed similar decision making bodies, and susequently have credited what they learned in Title I projects, at least in part, for the successes which they had in interpreting the needs of target populations and in requesting policy changes, resource allocations, and other official actions which could assist the solving of such problems (University of California, Irvine and University of San Diego).

6. They were educationally assisted through Title I projects to combine, often in a catalytic way, other resources with Title I resources resulting in improvements in agency services, housing, and recreation facilities. Similarly, new organizations and associations have emerged and have continued to serve target populations as the result, at least in part, of what was initiated in Title I projects (University of California, Los Angeles and Humboldt State College).
7. Through what they learned from Title I projects as volunteers or as staff, individuals from target populations obtained new employment with higher income and greater career opportunities. Some of these have been hired as "urbanologists." Others have been hired as paraprofessionals or professionals in federal, state, county, and municipal agencies where what they learned in Title I projects concerning community problem solving was being used in a variety of problem solving situations (University of California, Los Angeles).

8. In some projects, innovative approaches to community problem solving involving target populations have emerged. These included: the revival of drama as a medium for Mexican Americans to become educated in the nature of their cultural heritage; the commitment of American Indian languages to written form and education in the use of them which facilitated the renaissance of Indian culture in certain tribes in the State; and the emergent utilization of Black higher education students in providing in-service training for public school teachers in Black History (University of California at Santa Barbara, Humboldt State College, and California State College, Los Angeles).

Consequences to the Higher Education Institution

In three institutions, administrators reported that they had become more sensitive to the cross-cultural needs within their service areas as a consequence of their interactions with citizen advisory groups and personnel from Title I projects. At three other institutions, it was reported that increases in the enrollment in degree programs and extension courses, at least in part, had occurred as the result of what had been done in Title I programs. In addition, eight administrators claimed that they thought that the image of their higher education institutions had become more positive in terms of their record in serving wider segments of their communities because of Title I projects in their institutions.

Strengths of the Target Population Involvement Model

Analysis of these data indicates that the Target Population Involvement Model has the following strengths:

1. It can provide cognitive, affective, and/or skill training forms of education to those who are immediately affected by community problems.
2. In many instances, community problem solving is inhibited or is impossible without informed participation and involvement of indigenous leaders from the target population.
3. This model has been found to make it possible for a higher education institution increasingly to bridge communication and perceptual barriers between themselves and target populations which may not yet have been represented to any great extent in the higher education institution's student body. As reported above, this type of contact with target populations through Title I projects has been effective in attracting new students from target populations.

Limitations of the Target Population Model

The Target Population Involvement Model has been found to have the following limitations:

1. Title I projects which have utilized the Target Population Involvement Model primarily or exclusively have found it difficult or impossible to have the projects become self-supporting. Unless this happens, the projects are particularly dependent on continuous Title I funding. When Title I funding was no longer available, four of these

projects were discontinued. In three projects, it was possible to avert this difficulty by having the activities, begun under Title I, continued: (a) by being incorporated as an agency; (b) by being assimilated into an agency; and (c) by being assimilated into the higher education institution. An example of the latter adoption is illustrated by the Title I project at Merced Community College. An administrator indicated that the project had been so well received by citizens that the Board of Trustees voted to continue the project and to expand it to other target areas within the community college district using other district funds. He said:

> The project enhanced the image of the college as being involved. Some thought that it would be controversial, but it was accepted by everybody. The minority community now considers the college their own and they are now being reached and served.

2. The emotional, sociological, and political context of many community problems make it difficult for higher education institutions and their personnel to work unobtrusively with those who are immediately affected by community problems. When the higher education institution seeks to involve itself with these problems, it frequently finds itself seeking to provide educational services to individuals and groups who may wish to have the higher education institution play an active advocacy role.
3. If higher education institutions in their Title I projects offer or are perceived as having offered actually to solve community problems rather than to provide educational as-

sistance to those who are engaged in seeking solutions to community problems, they may create excessive expectations and eventual disillusionment with the higher education institutions on the part of those affected by community problems. The following quotations illustrate the type of excessive expectations which can arise:

> "I think that all of the problems of the community could be solved by the higher education institution. It has the money and that makes the big difference. With money, our housing, recreation, child care and other problems can be solved."

> "The higher education institution has offered to help us solve our community problems. With all of the professional expertise in that higher education institution being offered to us, all of our community problems can be solved."

> "I would like to see the higher education institution do something to solve the following problems: transportation problems, seeking commercial status for our community, providing job training and placement, developing better low-income housing, road improvements, better drainage systems to prevent flooding, and so forth."

> "The higher education institution came into our community offering to help us solve our community problems. They did help us in some ways. But when the money ran out, they withdrew completely."

When the higher education institution offers or is perceived as having offered to provide educational assistance to those seeking to solve community problems, however, the following types of reactions have been reported:

> "It is my feeling that the project has made an impact on the community due to the fact that participants are preparing themselves to qualify for better employment and desire to continue their education at the campus."

> "The people wanted certain forms of education and received it. I feel that the program instilled pride

in the community as well as directing attention to the college."

"I was unaware that the (educational) program was a project."

4. If higher education institutions use this model without adequately assessing the potential contact points for entry into the target populations, they can be rebuffed by target populations. In these instances, Title I projects can be partially or totally stymied.
5. The task of providing educational services to target populations to assist them in their community problem solving efforts can be exceedingly difficult and time consuming.
6. To require rapid, visible results from a Title I project which uses the Target Population Involvement Model can lead to dysfunctional pressure being put on both the project's staff and the target populations involved. If project staffs using this model feel that they must produce rapid "results," they may think that they have little alternative but to move from providing educational services to engaging in noneducational activities of a lower order which show immediate evidences of having solved problems. This type of process is one of the dysfunctional forms of conducting Title I projects which has been referred to by Title I directors as "copping out."
7. Although it has been found to be important to involve citizens or their leaders in target populations in educational activities related to community problem solving, there are few if any higher order community problems

which citizens in target populations can solve on their own. To operate the Target Population Involvement Model for long without also involving agencies in the process has been found not to work well.

The Transactive Involvement Model

In going from the first four models to the Transactive Involvement Model, a change in the type of involvement occurs. Rather than starting with the primary needs and resources of one of the following: faculty members, students, agency personnel, or persons from target populations, the Transactive Involvement Model brings persons from these different role perspectives together in seminars or forums to enter into dialogue about real problems in order to facilitate what has been called "creative social learning" (Dunn, 1971, p. 210).

The purpose of these seminars has not been to solve a community problem but to diagnose the problem's nature and to examine potential solutions to it. When this has been accomplished, the findings typically have been published or otherwise made available to relevant publics. At times television, newspapers, and film have been used for this purpose.

Implementation of the Transactive Involvement Model

When the Transactive Involvement Model was used, the project staff involved one or more persons from agencies, target populations, faculties, and/or student bodies in one or more transactive experiences. The nature of this relationship is depicted in Figure 10.

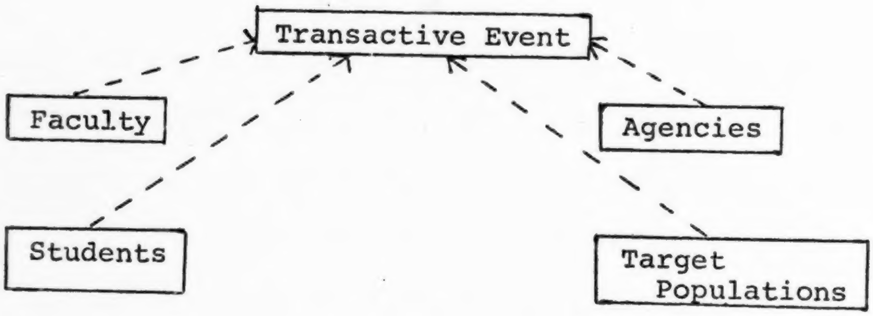

Fig. 10: Transactive Involvement Model

The analysis of the data indicates that approximately 19% of the total number of projects funded were predominantly of the Transactive Involvement Model type. Eight of the Transactive Involvement Model activities were short term; ten were long term. Sixteen were held in one location; two were operated in different locations through a communications network established by the particpants or by the Title I project staff. The transactive experiences ranged in size from fifteen to six hundred participants. Fifteen of these experiences addressed primarily one community problem; three considered more than one community problem or even the interrelationship between two or more community problems. One project, which used the Transactive Involvement Model, did so on an inter-system statewide basis.[11] Eight were done on a regional basis. Ten were countywide or local in scope. All of these projects related to very complex community problems of a higher order, including those related to health and drug abuse, land use planning and open spaces, housing and unemployment, neighborhood schools and integration, suicide and mental health, police community relations and many other severe higher-order problems.

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[11] Seminars around the theme "Open Space in California; Issues and Options" were held at the Universities of California at Berkeley, Davis, Irvine, Los Angeles, Riverside, San Diego, Santa Barbara, and Santa Cruz. Offering these seminars was done with the cooperation of the California State Office of Planning. Government officials, community agency representatives, and faculty from the above campuses came together to identify community problems related to the topic in each area. It has been reported that findings from each seminar were utilized by decision makers at the local, regional, and State level. One administrator claimed that the participants at these seminars constituted one of the most impressive gatherings of decision makers to have met on a single problem in California. All together there were several thousand participants in these seminars. The University of California in its report on this and other seminars held in conjunction with the first three years of Title I funding, indicated that over 16,000 persons had been involved.

Brief descriptions of some of the ways in which Title I projects which used this Transactive Involvement Model follows:

1. Sacramento State College, in one of its Title I projects, provided six workshops on problems related to police and community conflict, public health, minority youth, crisis in the family, welfare, and mental health. Those agencies responsible for the public services and policies of each of these problem areas were brought together with individuals who had these problems. Faculty who were knowledgeable in each problem area were also participants in the workshops. These workshops attempted to link community resources and methods of coping with social crisis problems. The workshops were videotaped, edited, and broadcast over educational television. Many citizen continued the discussion on each of these problem areas through organized meetings in agencies and community organizations. In some cases the videotapes of each of these broadcasts were used subsequently by agencies as part of their in-service training of personnel.
2. The University of California, Irvine organized seminars and study teams composed of civic leaders, government of-

ficials, and select citizens, each of whom was carefully chosen for his specific background and experience related to a critical problem in Orange County. These study teams have identified problems and potential solutions related to land-use planning, air pollution, transportation and mass transit, and home rule and metropolitan growth. Typically, reports and recommendations from these seminars and study teams were place in the hands of Orange County decision makers since the seminars were not identified as action bodies.

3. The University of Southern California in one of its Title I projects identified persons and associations in central Los Angeles who were part of the leadership centering around the tension area of community school control. A study seminar was planned to involve these persons in developing a model for communication between representative of schools, city school administrators, and representatives from the Black and Brown community of central Los Angeles. The university project staff acted in the role of facilitator and host for the conversations.
4. The University of California, San Francisco held a number of seminars and symposia which included staff from the medical school, agency personnel, and individuals who were representatives of particular target populations. The "Haight-Ashbury Round Table" dealt with problems related to the "hippie" population. The "Challenge to Higher Education Conference" dealt with planning for the education

of scientists and physicians. The "Use of Psychedelic Drugs" conference was nationally televised. The Symposium on "Hostility, Aggression and Violence" was televised within the State. These seminars and symposia usually involved over 300 persons. One was reported to have had over 600 participants.

Role of the Project Staff in the Transactive Involvement Model

In the Transactive Involvement Model the project staff usually performed some or all of the following:

1. The staff scanned the service area of the higher education institution for community problems which had high national, statewide, regional and/or local priority or potential priority and which were not being adequately dealt with by community problem solvers in the area.
2. The staff identified decision makers and others in critical positions related or potentially related to these community problems who were willing to be involved in a process of more adequately diagnosing and identifying alternative solutions. One project director reported:

   > The project leadership identifies the people, brings them together, and provides an environment for learning so program planning can later take place. The people choose their directions. The seminar leaders are facilitators.

3. The staff developed a plan for recruitment and involvement of these key persons in a transactive educational process. Care was taken to include individuals with different role perspectives but not those whose role perspectives were so rigid and/or extreme that they would be unwilling to

permit consideration of alternative solutions to the problem. One project director expressed it this way:

> The project staff provide the way to bring people together. They coordinate it. Then it goes by itself with some back up from Extension. The trick was in getting all relevant jurisdictions in one room talking together and thinking about the larger issues. This could never have happened without Title I and the involvement of the university.

4. The staff involved participants in planning the transactive process, keeping in mind the need to insure neutrality in the selection of site, in process methodology, and in the selection of the person to "chair" or facilitate the transactions. In many cases the project director was selected to be the facilitator. In other instances, a process consultant or facilitator was used for this purpose.
5. The staff encouraged pre-transaction preparation on the part of participants, which included identification or preparation of research data and identification of needs from the various role perspectives of invitees.
6. The staff kept the transactive process operating between sessions, acting as communications facilitators. In some cases, the staff assisted the participants in in-process evaluation of the learning process.
7. The staff usually assumed responsibility for the dissemination process following the transactive events. It has been reported, however, that it is important for the Title I project staff and the higher education institution not to become identified with the action phase. Avoiding this

type of involvement has been found to make it possible for the staff and the higher education institution to continue to be, and to be perceived as being free from advocacy involvement. In one of the projects using the Transactive Involvement Model the following was reported:

> I think that the reason that many doors were open to us after the seminars was because the participants said that we were fair. The seminar we did on police-community conflict gave us credibility with the police, the business community, and the minorities.

Avoiding becoming engaged in advocacy in projects which use the Transactive Involvement Model is extremely important, since it can enable the staff to follow up the transactive experiences related to one problem or set of problems with the use of one or more of the other involvement models and also with other transactive experiences related to other problems with the same or different participants. To do this, the Title I staff and the higher education institution need to be perceived as maintaining a basically nonadvocacy, but caring-and-being-involved, stance. For example, a participant who represented an agency in a Transactive Involvement Model project summarized his view of the role of the university and project director as follows:

> There is no feeling that the university was here to dictate solutions. Rather, the university provided a forum for problems and alternative solutions to be considered. The director has been a tremendous catalyst. He and his staff have anticipated problems so you weren't looking at that which was cast in concrete but at those problems which were coming up and getting to be important. He kept his hand on the pulse and knew how to go to the heart of problems. He knew what we were looking at. He was persistent, not pushy or arrogant. He just presented things for acceptance that were logical and sound. He didn't seem to look for his solution but listened for the consensus solution. All the seminars have been presented in this light.

A project director explained it further this way:

> I bring people together to do problem identification. They do the action planning. I help facilitate the process of their understanding the legal requirements and identifying the various decision-making bodies that are involved. They take it from there.

Role of Participants in the Transactive Involvement Model

Participants in the Transactive Involvement Model participated in the following ways:

1. assisted in the pre-planning for the transactional experience;
2. helped recruit other participants and identified other decision makers who needed to be involved in the process so that their contribution could be made and so that they too could participate in the social learning experience;
3. interacted with each other, presenting what they saw to be the nature of the problem(s) under consideration and the nature of alternative solutions from their role perspectives;
4. served on task forces to collect data and produce position papers about emergent problem(s) and/or alternative solutions to emergent problems; and
5. assisted in the dissemination of the results of the transactive experience to their respective groups and to others.

Participants conferred with others between transactive sessions in order to involve them externally in the transactive process and in social learning. When appropriate, these persons are brought into the transactive experience itself to interact with the participants.

In the transactive experiences, community problems were viewed primarily in terms of their complexities and internal dynamics. The participants sought thereby to diagnose these higher-order problems more adequately than is usually possible by abstracting community problems into components for which there are known solutions.

The Transactive Involvement Model utilized a style in which mutual learning is closely integrated with an organized capacity and willingness to act (Friedman, 1971). It is characterized by a willingness on the part of participants to accept inputs and ideas on their merits without reference to status roles in the community and to participate in a climate of openness and trust without predetermined solutions. In transactive educational experiences, participants are encouraged to draw general lessons from concrete experience, to test theory in practice, and to sincerely examine the results (Friedman, 1971). It is a process whereby participants are enabled through social learning to shift to new paradigms (Dunn, 1971, pp. 212-213).

This is a process somewhat like research and development. It is inductive and not primarily prescriptive. In this process the initial solutions and problem definitions perceived by each participant are seen to be less than totally adequate. For instance, one participant reported the following:

> The problems turned out to be different in type and magnitude than we had previously thought. We had to face up to new ethical responsibilities. It put us on the spot when we were shown situations that were really bad. We found out that problem solutions are partly a function of a state of mind and an environment. We realized that you have to identify problems before you jump into solutions.

More adequate solutions tend to emerge from group interaction. The participants in this process are dealing with live problems and are involved in the process because they are in a position to engage in problem solving activities.

Role of the Facilitator

This model depends to a great extent on the ability of the participants to act in role. It involves heterogeneous groups dealing with controversial, ideological issues. The data indicate that it takes a highly skilled facilitator for the transactive sessions to become more than "rap" sessions and for the transactions to be productive rather than destructive or ineffectual.

The facilitator's role is to:

1. provide group process expertise in order that learning will occur within appropriate tension levels;
2. assist participants through providing strategies for conflict resolution in avoiding defensiveness, dysfunctional withdrawal, uncontrolled role conflict, polarization of positions, and the disintegration of communication and trust;
3. provide feedback related to stereotyping, group impasses, and dysfunctional proliferation of topics and issues; and
4. support participants in trying out new concepts and in bearing the burden of increasing new information in a climate that makes for provisional judgments.

Consequences of the Transactional Involvement Model

Participants reported the following kinds of consequences:

1. They learned to see problems, which they had previously been able to see only in part or as lower-order problems, as emergent higher-order problems which demanded more adequate, comprehensive solutions. The following comment is typical of responses from participants:

   > We saw the problems in a new way. The nature of the critical problems unfolded and new resources to help solve them were identified. This happened as a result of our interaction.

2. They learned alternative solutions and new ways of approaching emergent higher-order community problems.

3. In many instances, they experienced strong, positive attitudes toward having participated in transactive experiences, having been able to bring about positive changes from the new perspective, and having seen others do so. One participant said:

   > Before the seminars, a lot of people were interested in the problems but they were disorganized and frustrated. What has come out is peaceful problem solving...fast, efficient, and quiet...with results.

   Frequently the strong positive attitude persisted as long as several years after the transactive learning experiences had taken place. As stated by one participant:

   > The impact of the Title I seminars has been great. It has really been catalytic. We didn't immediately solve problems but we set a problem solving process in motion that has brought about subtle but important shifts in the climate.

   Another participant said:

   > We learned a lot about the problem and how to get our foot in the door to get some of these problems solved.

4. Some participants reported that consequences of the transactive learning experiences were continuing to take place in their communities on the part of other problem solvers. For example, some of the participants in the University of Southern California's Community School Project have since been appointed to the Los Angeles Urban Coalition Education Committee where it was reported they are now using some of the understanding which they gained in the Title I project to deal with community problems.

5. The following consequences were imputed, at least in part, to have stemmed from or to have been effected by Title I transactive learning experiences:
   a. Policies were changed in agencies and governmental bodies leading to improved employment practices, flood control, police-community relations, and health, education, and welfare services.
   b. New interagency relationships were established.
   c. Citizens' task groups and governmental advisory groups were formed. Some of these have continued to engage in community problem solving processes. Many citizens who were participants in these transactive experiences were later recognized by county and local governments as being knowledgeable about higher order community problems and ways to solve them. Some claimed that what they learned in Title I transactive learning experiences was related to their being appointed to commissions and task forces, often in leadership roles.

d. Reports that resulted from the transactive learning experiences were often published and were widely distributed in print or in some cases through the mass media of radio, television, or film. These reports were used by a variety of agencies and governmental bodies as a basis for decision making and subsequent problem solving efforts. For instance, representatives from the lumber industry, the tourist industry, the local merchants, and the faculty of Humboldt State College were brought together by the staff of a Title I project for the purpose of discussing the potential impact of the creation of a new national park in the area. The research conducted by the faculty for this seminar and the findings of those who met together were subsequently used at least in part by Congress in the decision to create the National Park of the Redwoods.

e. Agency personnel, who participated in transactive projects, reported that certain positive consequences in the regions which they served were not likely to have happened without the participation of the higher education institution which provided a context of "neutrality and fairness" for the transactive consideration of higher-order community problems.

f. Three of these transactional experiences were short lived because no way could be found to get beyond impasses caused in part by very difficult environmental factors; because of the inability of participants to interact constructively with each other; or because of the complexity of the problems being addressed; or because of the reported lack of facilitator skills.

g. Use of the model permitted a multiprofessional, multidisciplinary approach to the consideration of complex community problems.

Because of the magnitude and complexity of most higher-order community problems, to deal with them from only one role perspective is to operate on a single dimension when there are many dimensions involved.

Rosenstein, in his research on professions, indicates in the following quotation that it is imperative that a multiprofessional approach be taken to the massive social problems of our urban environment:

> What we face may be called the crisis of the professions. Single purpose answers no longer suffice. Indeed, in documented case after case the supposedly optimum disciplinary solution has ultimately led to environmental disaster.
>
> The professions will never become effective in solving the multidisciplinary problems of our society if each persists in operating in an independent, one dimensional mode. A professional man with a traditional education has been prepared to recognize only those areas where his discipline intersects the problem. Regardless of his individual brilliance or the effectiveness of his local solutions, he has not been educated to perceive or even consider the ultimate effects of other dimensions and other professions upon his plan and the effects of his decisions upon the entire environment.
>
> In theory, the professions take care of the social needs of our citizens, for by definition they are society oriented. This dependency is expressed in the general public feeling that somehow the medical professions are taking care of our collective health, the legal profession protects our civil liberties, and engineers are engaged in cooperative

> actions to banish pollution, traffic congestion, etc. The fallacy, of course, lies in the assumption that the professional who has training to solve social problems--and he is the only one educated to solve them--will automatically and knowingly determine the full social consequences of his decisions and act unselfishly in the greatest public interest. This is simply not the case. The professional does not now assume responsibility for society, nor has he been educated to anticipate the social consequences of his decisions. In reality, the professional is client oriented...Collectively, the social visibility of national professional societies has not proven significantly better.
>
> Solutions to the problems of our cities will require massive coordinated action by educators and engineers, social workers and business administrators, politicians and physicians...The tide of human affairs leaves them no choice except to assume social as well as technical leadership (Rosenstein, 1970, pp. 4-5).

The evaluation team found that Title I projects that provided for transactive multidisciplinary, multiprofessional seminars and forums were attempting to address the crisis of the professions described above.

Strengths of the Transactive Involvement Model

The Transactive Involvement Model is reported to have the following strengths:

1. The higher education institution seems to be in a critical position to facilitate educationally transactive, higher order community problem solving.
2. Even where great tensions surround certain community problems, it has been found that with the use of this model a higher education institution and its resources can effectively be related as long as a nonadvocacy role is maintained. The higher education institution, although not perceived as totally unbiased by segments of our society, is frequently viewed as being traditionally less

biased, more neutral, and therefore more able to bring together community problem solvers to consider complex and controversial community problems than most other institutions in the community.

3. A potential multiplier effect has frequently occurred when the model has been utilized successfully. It has been found that a positive reputation can be earned by a higher education institution or Title I project from having made possible transactive experiences, facilitating future programming of these experiences.
4. This model can be combined with and supplemented by the use of the other four Involvement Models before, during, or after transactive learning experiences.

Limitations of the Transactive Involvement Model

1. The main limitation of the model has to do with its dependency on the willingness of the critical actors to participate and on the timing of having the transactive experiences take place in relation to "surfacing" higher order community problems.
2. The model is also very dependent on the availability and skills of facilitating leadership. Without such leadership, the risks of transactive learning experiences can outweigh potential benefits.
3. The transactive model does not make money and may not be understood or appreciated by the higher education institutions.
4. There is limited research on what actually takes place in these contexts with differing leadership interventions.

Nevertheless, those who have participated in these transactive educative experiences have reported positive consequences. In short, the Transactive Involvement Model is a particularly promising approach to the diagnosing of higher-order community problems.

Toward a Comprehensive Title I Involvement Model

Projects in some institutions have concentrated during a year or two period of Title I funding on developing their institutional capacity and willingness to engage in a particular type of community service programming through the use of one of the involvement models. When this has been accomplished, the Title I project staff has switched its emphasis to seeking to develop other types of community service program capabilities in the institution by utilizing one or more of the other involvement models during successive years of Title I funding. As a particular type of community service has been adopted by the institution or become financially self-sustaining, additional Title I funding could be used to foster new growing edges for community service in the institution. The Title I projects in the Universities of California at Davis, Los Angeles, and Santa Cruz and at Humboldt State College are among those which were found to have used one model and then supplemented what they were doing with the use of another model. It would seem that additional institutional capability in community service programming could be particularly well enhanced by augmenting the Faculty, Agency, Target Population, or Transactive Involvement Models with the use of the Student Involvement Model to increase the extent of student involvement in community service efforts. Theoretically, and perhaps in practice, a fully explicated community service program in a higher education institution could thereby be developed through the use of Title I funds, relating higher education resources to community problem solvers in the ways depicted in Figure 11.

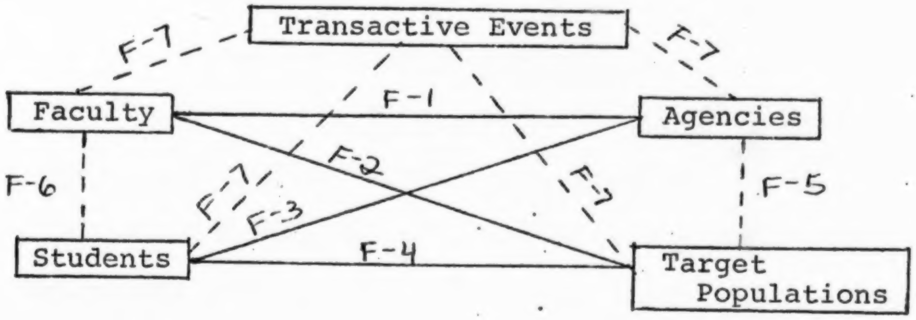

Fig. 11: Comprehensive Title I Involvement Model

A community service program in a higher education institution which successfully implements the Comprehensive Title I Involvement Model will be able, in the estimation of the evaluation team, to complementarily combine the other involvement models. Theoretically this will allow the strengths of some of the models to counteract the limitations of the other models.

Summary

Title I projects have varied markedly in the way in which they went about releasing resources of higher education institutions to provide educational assistance to community problem solvers. The analysis of evaluative data led to the inductive identification of the following five alternative theoretical models as well as one comprehensive theoretical model. The Faculty Involvement Model, which was used in 25% of the projects, placed primary emphasis upon involving faculty members in educationally assisting community problem solvers. The Student Involvement Model, utilized in 13% of the projects, focused primarily on involving students in field experiences with agencies. The Agency Involvement Model, used in 29% of the projects, focused primarily on providing training for personnel in agencies and associations. The Target Population Involvement Model, utilized in 14% of the projects, primarily focused on establishing educational centers in barrios and ghettos, recruiting persons from target populations as students in higher education institutions, and educating persons from target populations about community problems in workshops, conferences, and community meetings. The Transactive Involvement Model, used in 19% of the projects, brings persons from different role perspective together in seminars to enter into dialogue about real problems in order to diagnose and identify alternative solutions to these problems.

Although none of the Title I projects was found to have implemented all of the above Involvement Models, theoretically and perhaps in practice, a fully explicated community service program in a higher education institution can be accomplished by supplementing one or more of the above models with other of the models in a Comprehensive Involvement Model. This Comprehensive Involvement Model will be able, in the estimation of the evaluation team, to allow the strengths of some of the models to counteract the limitations of others.

In this chapter the ways in which each model has been implemented was described along with the types of immediate, intermediate, and ultimate consequences of their utilization in Title I projects. Finally, relative strengths and limitations of each model were specified.

CHAPTER V

EVALUATIVE FINDINGS: DEVELOPMENT OF TITLE I PROGRAMMING IN THE STATE

The findings which have been presented in this report seem to indicate that an impressive amount of progress was made in Title I programming in the State between 1966 and 1971 in spite of the limited amount of funds available. As reported in Chapters III and IV, a rationale for Title I programming and alternative models for implementing the Title I was developed during this period with a variety of positive consequences. These favorable consequences were facilitated by the manner in which the Title I program was developed in the State.

A summary of the evaluative data concerning each of the following aspects of the development of Title I programming in the State are presented, in turn, below:

1. Developing and administering a state plan;
2. Developing Professional Capability for Community-Oriented Programming;
3. Encouraging consortial relationships;
4. Developing a communications network;
5. Evidencing the imputed and verifiable consequences of Title I projects.

Developing and Administrating a State Plan

The role of the State agency in developing Title I programming in the State is a crucial one according to the Act. Moreover, the importance of the role the State agency in developing Title I programming in the State was born out by the findings of the Evaluation Team. In accordance with Section 105 of the Act, the designated agency for the administration of Title I in the State is required to prepare a State plan, setting forth a comprehensive, coordinated, and statewide system under which funds paid to the State by the federal government can be dispersed. It must also set forth the policies and procedures to be followed in allocating federal funds to higher education institutions in the State to carry out Title I projects and is to set forth conditions under which these funds can be spent. The State agency's plan and the way in which that plan is implemented must go beyond the mere listing of priorities of needs and statements of policy. The State agency must make decisions about what type of proposed projects to fund in which institutions. Subsequently, decisions have to be made about which projects to fund again. At all times the State agency has to be concerned with fostering both of the following purposes of the Act:

a. assisting people in the solution of community problems; and
b. strengthening community service programs of colleges and universities.

The first task of the State agency Title I project staff in higher education institutions was to focus primarily on identifying and developing ways of assisting people in the solution of community problems.

During the first year or two of Title I in the State, efforts were made to (a) assess and in some instances to capitalize upon existing forms of community service programs; and (b) to identify alternative approaches to implementing Title I programming.

In the next few years, certain approaches to Title I programming were found to be more effective than others. These were utilized and successively strengthened, leading to the development of what has been described as the five implementation models in Chapter IV of this report. These more effective models grew out of rather extensive and conscientious efforts on the part of the California Coordinating Council's Title I staff and the personnel in local Title I projects to identify and try out a wide variety of what seemed to be promising ways of implementing Title I.

The evaluative data indicated that these projects were undertaken initially under circumstances in which there was uncertainty as to the nature and extent of the educational needs of community problem solvers. Furthermore, there was uncertainty generated by the relative instability of the community environment in which the Title I projects operated. The extent of instability in the environmental context in which Title I projects had to operate is indicated in Table 10.

TABLE 10

DISTRIBUTION OF TITLE I PROJECTS ACCORDING TO ENVIRONMENTAL CONTEXT AS DESCRIBED BY INTERVIEWEES IN 24 INSTITUTIONS OF HIGHER EDUCATION

(N=81 projects)

Type of Environmental Context	Percent of Title I Projects
Stable Environment	5
Moderately Stable Environment	30
Moderately Unstable Environment	33
Unstable Environment	32
Total	100

In short, Title I project personnel had to find effective ways of releasing higher education institutional resources to meet educational needs in relatively unstable environmental contexts. Hirschman has suggested that programming in the face of uncertainties calls for a research and development approach which has the following characteristics:

> 1. Rigid specifications of the performance characteristics of the desired product should be avoided for fear of excluding a product that is perhaps no less desirable, and far more feasible, than some other.
>
> 2. When the desired produce is a 'system' containing several components, there should be no rigid stipulation in advance about the way in which the components are to be adjusted to each other as it is important to give each team working on a component the maximum freedom of movement though subsequently a special effort will have to be made to fit the various pieces of the system together.
>
> 3. In considering alternative approaches to developing the desired product or its components, the correct procedure is not necessarily to decide which is the best prospective approach on the basis of the most sophisticated benefit-cost analysis available. In view of the large uncertainties surrounding all approaches at an early stage of R & D, it may be advisable to try out in practice several approaches until the uncertainties have been sufficiently reduced and to delay until then the decision as to the best approach. The cost of developing several prototypes may be less than the cost of developing only one whose prospects look best at an early stage, but whose production may then run into some gigantic snag because the more adverse among the large uncertainties have come into play (Hirschman, 1967, p. 77).

As indicated in Chapter I of this report, implementing the Act could not be done by mere imitation or replication of some other form of developmental or service process. It was a pioneering effort which was undertaken in a complex environment and which was seeking new ways of educationally assisting problem solvers who were addressing a variety of higher-order community problems. For the statewide agency to have prescribed what each of the higher education institutions needed to do with their Title I projects in these instances might have resulted in debilitating uniformity and standardization of Title I projects in the State. But such an overly prescriptive approach, which Hirschman (1967) has described as "rigid stipulation in advance," was wisely avoided, allowing for latitude in the timing of projects and for alternative approaches to be utilized. When necessary, the State agency's Title I staff allowed for flexibility so that revision or substitution of alternative approaches could be made, leading to the more adequate meeting of educational needs of community problem solvers. This flexibility permitted necessary movement and shifting in the nature of Title I projects. The distribution of Title I projects according to extent of necessary movement and shifting in the nature of the project as described by interviewees in 24 institutions of higher education is shown in Table 11.

TABLE 11

DISTRIBUTION OF TITLE I PROJECTS ACCORDING TO EXTENT OF NECESSARY MOVEMENT AND SHIFTING IN THE NATURE OF THE PROJECT AS DESCRIBED BY INTERVIEWERS IN 24 INSTITUTIONS OF HIGHER EDUCATION

(N=81 projects)

Extent of Movement Necessary During Project	Percent of Title I Projects
No Movement Necessary	7
Some Movement Necessary	33
Considerable Movement Necessary	29
Extreme Movement Necessary	21
Total	100

Obstacles to the successful implementation of Title I projects could not have been foreseen at the beginning of projects and which might have discouraged both the statewide staff and the local Title I staff from getting involved were, in fact, frequently overcome when previously unidentified resources or ways to implement Title I projects were discovered.[12] Under such circumstances those who have been identified as being the more competent Title I project directors emerged with increased sophistication and confidence in how to implement Title I programs effectively. One of the project directors working with an Indian constituency was given an Indian name, "Coyote," with the interpretation that a coyote is wise because he learns from his mistakes.

Developing Professional Capability for Community-Oriented Programming

When Title I project personnel were interviewed about the way in which they performed their tasks, they usually reported that what they were attempting to do called for professional skills which were different from their prior career experience as either faculty or agency personnel. They indicated that they had to operate Title I projects in the midst of the interface between the higher education institution and the various organizations, agencies, and target populations served by Title I projects. With few exceptions, the effectiveness of Title I projects was found to be largely dependent on the nature and quality of the professional Title I project staff operating within this interface. The project staff needed to be able to conceptualize the relatively complicated process called for in order to operate broad-aim programs utilizing the highly specialized resources of most higher education institutions. This called for a high degree of administrative ability as well as knowledge of the conventions, forces, and resources of both the community and the higher education institution. Few Title I project personnel had been in a situation before where credibility in the higher educational institution as well as in agencies and in target populations was demanded of them professionally.

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[12] Hirschman (1967) has referred to this phenomenon as "the principle of the Hiding Hand."

The evaluative data from interviews with persons from agencies and target populations indicate that, for the most part, project personnel did achieve credibility in the community. Further, the evaluative data from interviews with local Title I project personnel indicated that fostering support from administrators for their projects and for community-oriented programs was an essential task in developing Title I projects. They did so by keeping in contact with the administrators, by informing them of emergent needs and other developments in the community, and by appraising them specifically about what was being done in their Title I projects and about the consequences. A relatively extensive amount of support for Title I projects seems to have been generated locally, at least with the administrators most knowledgeable about as these projects, as indicated in Table 12.

TABLE 12

DISTRIBUTION OF EXTENT OF SUPPORT FOR TITLE I PROJECTS EXPRESSED BY ADMINISTRATORS INTERVIEWED

(N=29 Administrators)

Extent of Expressed Administrative Support	Percentage of Administrator Interviewed
Extensive Support	62
Moderate Support	26
Little Support	8
No Support	4
Total	100

It is the conclusion of the evaluation team that the development of professional capability to perform adequately in this complex community-higher education interface is critical for the future of community-oriented programming. The data indicate that there is a relationship between the number of years of service of project directors and their ability to conceptualize and administrate the complex task of releasing higher education resources to assist problem solvers educationally. The distribution of persons who had major responsibility for running Title I projects according to the number of years of their service is presented in Table 13.

TABLE 13

DISTRIBUTION OF PERSONS WHO HAD MAJOR RESPONSIBILITY FOR RUNNING TITLE I PROJECTS ACCORDING TO NUMBER OF YEARS SERVICE

(N=55 Project Directors)

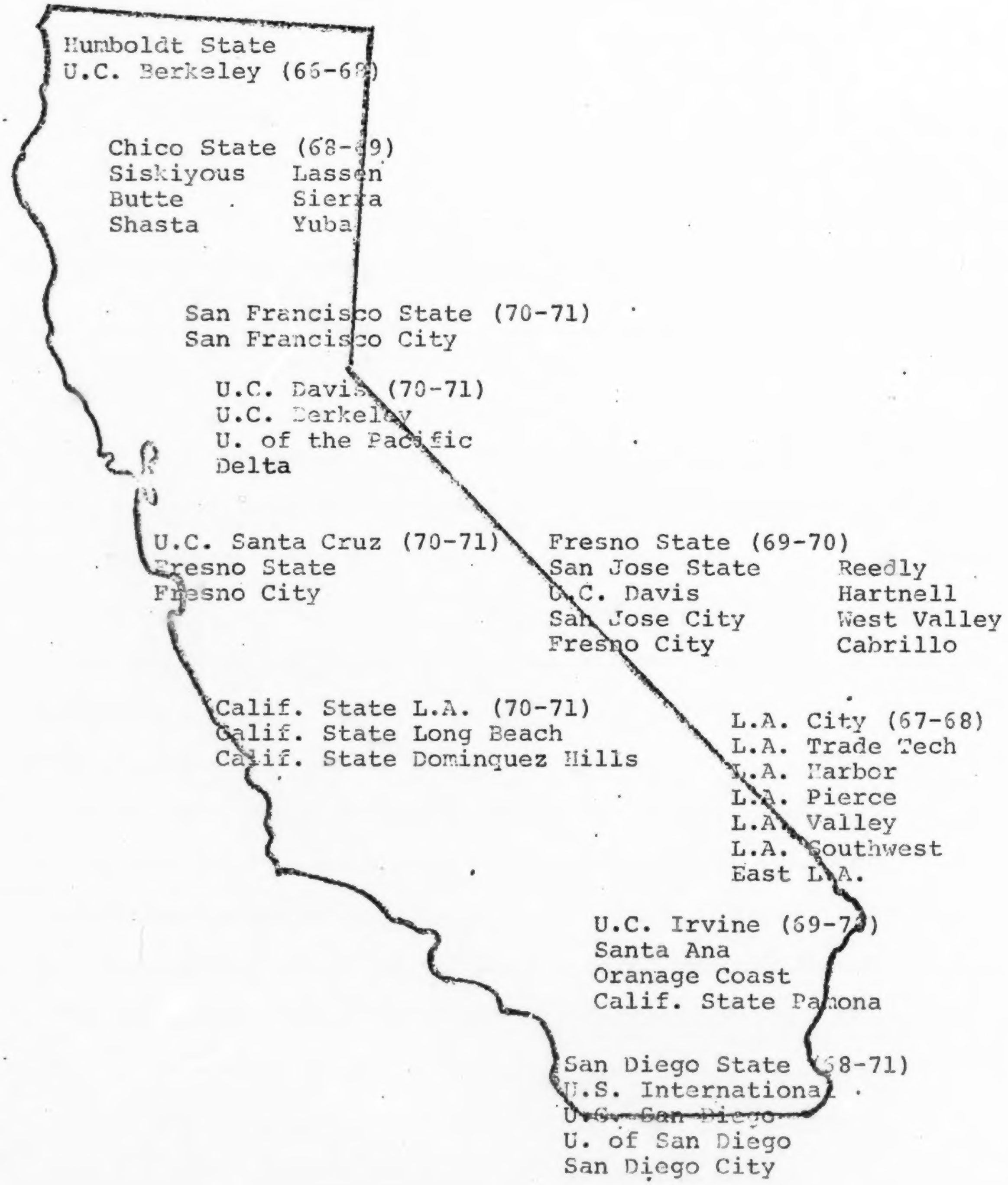
Number of Years of Service	Percent of Project Directors
One Year of Service	65
Two Years of Service	14
Three Years of Service	7
Four Years of Service	5
Five Years of Service	9
Total	100

It seems that encouraging more continuity of service would permit the further development of professional expertise in conceptualizing and administrating community-oriented programs.

Encouraging Consortial Relationships

During the five years between 1966 and 1971, emphasis was placed by the California Coordinating Council's Title I staff on developing consortia to make it possible to assist community problem solvers educationally on a more extensive basis than would usually have been possible using the resources of only one institution. A number of consortial arrangements were funded and some developed spontaneously. Examples of Title I Consortia according to participating institutions of higher education between 1966 and 1971 are depicted in clusters in Figure 12.

Fig. 12: Examples of Title I Consortia According to Participating Institutions of Higher Education, 1966-1971.


Humboldt State
U.C. Berkeley (66-68)
Chico State (68-69)
Siskiyous
Butte
Shasta
Lassen
Sierra
Yuba
San Francisco State (70-71)
San Francisco City
U.C. Davis (70-71)
U.C. Berkeley
U. of the Pacific
Delta
U.C. Santa Cruz (70-71)
Fresno State
Fresno City
Fresno State (69-70)
San Jose State
U.C. Davis
San Jose City
Fresno City
Reedly
Hartnell
West Valley
Cabrillo
Calif. State L.A. (70-71)
Calif. State Long Beach
Calif. State Dominquez Hills
L.A. City (67-68)
L.A. Trade Tech
L.A. Harbor
L.A. Pierce
L.A. Valley
L.A. Southwest
East L.A.
U.C. Irvine (69-70)
Santa Ana
Oranage Coast
Calif. State Pamona
San Diego State (68-71)
U.S. International
U.C. San Diego
U. of San Diego
San Diego City

Evaluative data indicated that this type of an approach tends to be particularly important in parts of the State in which a relatively few institutions serve large geographic areas. In some instances, however, interviewees have pointed to the need to develop intrainstitutional consortia, particularly in very large and complex institutions, to facilitate interdepartmental or interdisciplinary approaches to providing educational assistance to those dealing with higher-order community problems.

Many interviewees indicated that they thought that a consortial approach to problem solving was favorable in principle but that it did not always work out well in practice. They suggested that much of what was giving difficulty could be avoided if funding were given to each institution rather than to a representative or coordinating institution.

Developing a Communication Network

Since distinctive models have emerged for alternative ways to implement Title I projects, the need has increased for effective intercommunication between Title I project staffs which are working with the same models in different higher education institutions. Present and former Title I project directors who attended the Evaluation Workshop emphasized the importance of their being kept informed about what other project directors are doing and the consequences. They indicated that they need more opportunities to interact with each other and with other persons who are knowledgeable about Title I programming and related topics.

In interviews conducted by the Evaluation Team, many project directors reported that they had benefited from site visitations from the Coordinating Council's Title I staff and that they would welcome an increased amount of feedback from reports sent to the State agency's staff. They spoke particularly favorable about the type of technical assistance concerning Title I programming which had been provided by members of the Coordinating Council's Title I staff. In some instances, the project director in one institution was referred to project directors in other institutions where needed technical information could be provided. The Coordinating Council's Title I staff has already responded to part of this need through the initiation of a quarterly newsletter which is now in its fourth issue.

Evidencing the Imputed and Verifiable Consequences of Title I Projects

The evaluation team noted that the closer one got to most Title I projects, the more evident it became that the projects had impressive immediate, intermediate, and ultimate consequences. It was found that many of the most impressive imputed and verifiable consequences of Title I projects which were reported to the Evaluation Team never had a way of coming to the attention of the public or those who make decisions about Title I. Using the type of broad-aim program evaluation described in this document, it is possible to obtain the types of imputed and verifiable consequences of Title I programming which are presented in Chapter IV. It would seem to be a matter of importance to create a process by which the nature of similar consequences of future Title I projects can be reported, processed, and brought to the attention of those who made decisions about Title I and of the public in general.

The types of evidences of imputed and verifiable consequences which could be obtained are: (1) specification of the type of involvement model used; (2) reports of the number and types of participants in Title I activities; (3) evidences of educational achievement as part of the Title I project; (4) reports from students, faculty, and administrators, concerning how Title I projects have affected their higher education institutions and the education provided by these institutions; (5) statements from community problem solvers specifying what they have learned in Title I projects and statements of specific consequences which they impute totally or in part to what they learned in Title I programs; and (6) reports from agency or governmental administrators that policies have been changed or practices implemented as a consequence, at least in part, of what they or members of their staffs have learned in Title I programs.

Summary

In this chapter evaluative data have been presented concerning the following aspects of the development of Title I programming: (1) developing and administering a state plan; (2) developing professional capability for community-oriented programming; (3) encouraging consortial relationships; and (4) developing a communications network.

During the first year or two of Title I in the State, efforts were made to assess the existing forms of community service and to identify alternative approaches to implementing Title I programming. In the next few years, certain approaches to Title I programming were found to be more effective than others. These were utilized and successively strengthened, leading to the development of what has been described as the five implementation models. These Title I efforts were undertaken for the most part under circumstances of uncertainty as to the nature and extent of educational needs in the community and uncertainty related to instability of the environmental context. When necessary, the State agency administration of Title I allowed for flexibility so that revision or substitution of alternative approaches could be made, leading to the more adequate meeting of the educational needs of community problem solvers.

Title I project personnel who worked with the above mentioned uncertainties needed to be able to conceptualize the relatively complicated process called for in order to operate broad-aim programs utilizing the highly specialized resources of higher education institutions. It is the conclusion of the evaluation team that the development of professional capability to perform adequately within the interface between the institutions of higher education and the community is critical for the future of community-oriented programming. In order to accomplish this, it seems that encouraging more continuity of service would permit the further development of professional expertise.

During the five years between 1966 and 1971, a number of consortial arrangements were funded under Title I. Some informal arrangements also developed spontaneously. It was reported that arrangements were particularly important in parts of the State in which relatively few institutions serve large geographic areas or where interdepartmental or interdisciplinary approaches can be developed. In addition, it was suggested that funding be given to each institution in a consortia rather than to a representative or coordinating institution.

The need for effective intercommunication between Title I project staffs which work with the same models in different higher education institutions has emerged. Project directors indicated that they appreciated workshops, site visits from the Coordinating Council's Title I staff, and receiving technical assistance from them concerning Title I programming. It was found that there is a need for the imputed and verifiable consequences of Title I projects to be brought to the attention of the public or those who make decisions about Title I. The types of evidences of imputed and verifiable consequences which could be obtained have been described in this chapter.

CHAPTER VI

SUMMARY AND CONCLUSIONS

Title I of the Higher Education Act of 1965 (PL89-329) committed federal support at the 75% level to institutions of higher education for community service and continuing education programs to the attainment of these two objectives:

(1) to help people solve community problems; and

(2) to strengthen and improve community service and continuing education programs of institutions of higher education.

In the State of California, the Coordinating Council for Higher Education was designated as the State agency to administer the Title I programs. Between 1966 and 1971, $2,523,869.00 of federal funding came into the State, matched by $1,600,081.00 from the institutions of higher education, making a total of $4,123,950.00. During this period, 97 projects were implemented by 36 institutions of higher education in the State.

Early in 1971 the Coordinating Council for Higher Education requested proposals for a statewide evaluation of Title I, 1966-1971.

The Request for Proposals (RFP) recognized that a five-year evaluation study of Title I programs in the State of California could not undertake a project by project analysis or a comparative assessment because of:

1. the limited funds available for the study; and
2. the *ex post facto* nature of the study.

Moreover, previous quantitative evaluations of Title I programs had been found to be of limited value. Because Title I projects need to be implemented in essentially uncontrolled situations, their programming is, of necessity, both broad-aimed and generally unstandardized. In turn, the evaluation of this type of broad-aim program needs to be descriptive and inductive rather than experimental in nature (Weiss and Rein, 1969). Using a methodology developed to evaluate broad-aim programs, the Title I projects in California between 1966-1971 were evaluated by:

1. reading all the project files to obtain an overview of the 97 projects;
2. conducting a workshop with Title I project directors to determine key indicators and critical issues in Title I programming;
3. conducting 193 on-site interviews in 24 higher education institutions; and
4. using survey questionnaires to obtain supplemental data.

The analysis of the resulting evaluative data was done primarily through the use of content analysis.

The evaluation team found that there have been several sources of confusion in interpreting the Title I Act. A widespread agreement was found that the Act itself contains a lack of clarity concerning what kinds of activities are appropriately (and legally) fundable with Title I funds. In Chapter I, similarities and differences which have been identified between what seems to be the intent of the Act and each of the following are presented:

1. the agricultural extension model;
2. community development;

3. community services in community college; and
4. public service in higher education institutions in general.

Despite these sources of potential confusion, ways were found in the Title I projects to release the resources of higher education institutions to provide educational assistance to community problem solvers who were addressing problems related to environment and ecology, inner-city decay, community crisis, minorities and disadvantaged, and inefficient government. From these efforts, a rationale has emerged for the programming of Title I projects. This rationale, which is described in fuller detail in Chapter III, consists of:

1. identifying and analyzing the order of community problems which are ultimately to be addressed by a Title I project;
2. programming to provide educational assistance to community problem solvers without seeking to involve higher education institutions or their resources directly in the community problem solving process;
3. identifying specific resources of institutions of higher education which can be appropriately related to specific phases of the community problem solving process; and
4. distinguishing between immediate educational consequences of Title I programming and intermediate and ultimate consequences of Title I programming.

The analysis of the evaluative data led to the inductive identification of the following alternative involvement models:

1. the Faculty Involvement Model;
2. the Student Involvement Model;

3. the Agency Involvement Model;
4. the Target Population Involvement Model;
5. the Transactive Involvement Model; and
6. the Comprehensive Involvement Model.

The primary focus in Title I projects which utilized the first four of these models was to involve faculty members, students, agency personnel, or persons from target populations respectively in community-oriented educational activities in order to provide educational assistance to community problem solvers.

Projects which used the fifth model primarily sought to involve faculty members, students, personnel from agencies, and/or persons from target populations in transactive seminars to assist educationally in diagnosing complex community problems and solutions to them.

The sixth model consisted of a combination of the other five involvement models.

The ways in which these models have been implemented, the types of consequences which have resulted from their implementation, and an analysis of their strengths and limitations in Title I programming are presented in detail in Chapter IV.

In the first chapter, the following hypothetical question was raised: In what ways and to what extent were the California Title I projects during 1966-1971 able to transcend their conceptual and implementational difficulties in accomplishing, in their own ways, for "community problem solving" and particularly urban and suburban community problem solving, what Agricultural Extension Service has done for rural America?

In the estimation of the evaluation team, the following claims can be made for Title I as implemented in California between 1966-1971:

1. Effective models (described in Chapter IV) were developed which educationally link the resources of higher education institutions to community problem solving efforts of persons from agencies and target populations and, similarly, which involve faculty members and students in providing educational assistance to community problem solvers.
2. Personnel with expertise in designing and administering Title I programming have been hired and/or developed.
3. A clientele which utilizes the educational resources of higher education institutions to strengthen their community problem solving efforts has been developed.
4. Difficulties were frequently transcended because of the flexibility of the statewide program and the ingenuity of personnel in Title I projects.

The extent of development of Title I in the State, however, has been inhibited, in the estimation of the evaluation team, by the relatively limited amount of funds for Title I available and by the relatively few project directors who have been with projects for more than one or two years.

In the RFP, questions were raised about the quality, magnitude, and persistence of the effects of Title I and about how these effects related to Title I administrative policies. It is the major conclusion of this evaluation that higher education institutions' resources can be made and have been made relevant to the educational needs of community problem solvers because of Title I programming efforts. Further, because of Title I, community problems in the State have been solved with catalytic effect in ways and to an extent otherwise not possible.

Throughout this report, the effects of Title I programming have been referred to in terms of the following chain of events:

1. Resources of higher education institutions are released educationally to assist community problem solvers.
2. A typical, immediate, intended effect of this process is learning by community problem solvers about how to solve community problems more adequately.
3. A typical, intermediate effect of Title I is the utilization of the learning acquired in a Title I project by one or more community problem solvers to solve community problems.
4. In turn, a typical, ultimate effect of Title I is the consequent reduction in a community problem.

The catalytic effect of these chains of events has been illustrated repeatedly in Chapter IV. One of these illustrations, for example, started by pointing to research conducted by faculty members of a State College and the findings of a Title I transactive seminar, composed of representatives from the lumber industry, the business community, and the tourist industries of the Humboldt area, which were compiled into a report. This report was subsequently used by Congress in the decision to create a new national park, the Park of the Redwoods.

The evaluative data presented in this report generally indicate that the achievement of positive effects from local Title I projects was facilitated by the role played by the State agency. As described in fuller detail in Chapter V, the State agency allowed for flexibility in Title I programming in the State. At the same time it provided technical assistance in Title I programming for local projects. It is the conclusion of the evaluation team that this combination contributed to the emergence of the alternative, functional involvement models described in Chapter IV. Moreover, movement has been in the direction of (and, it would seem, needs to continue to be in the direction of) developing:

1. more adequate communication between Title I project personnel;
2. more longevity of service for those who have professional expertise in conceptualizing and implementing broad-aim, community-oriented, educational programs;
3. more effective, inter-institutional and intra-institutional consortial arrangements for Title I programming; and
4. more adequate reporting of the extensive, imputed, and verifiable consequences of Title I projects.

Referring to a chain of events which occurred in a somewhat unstable environment, one interviewee concluded: "In my opinion, our community is a better place in which to live and work because of what was started in a Title I project." Despite relatively limited funding, it can be concluded, based on the imputed and verifiable consequences of Title I projects in the State between 1966-1971, that these projects have had positive effects on both the communities and the institutions of higher education in which they have been implemented.

APPENDIX I

SCHEDULE FOR TITLE I WORKSHOP

September 23 & 24, 1971

Thursday, September 23, 1971

10:00 Welcome by William Haldeman

"Nature of the Task" - James Farmer
- (a) Types of Evaluation
- (b) The Nature of the Evaluation Project
- (c) The use of Key Indicators, Alternatives, and Models in Evaluation

Coffee break

11:00 Agenda testing - Paul Sheats

11:30 "Evaluation of Broad-Aim Programs" - James Farmer

Noon Lunch

1:30 "Identification of Problems and Issues" - J. David Deshler

3:30 Break

4:00 Feedback session by sub-groups to the total group
Synthesizing feedback with project inputs - Paul Sheats

5:30 Dinner

7:30 Simulation Gaming - Paul Sheats

Friday, September 24, 1971

9:00 Breakfast

10:00 "Using Problem-solving Models in Broad-Aim Program Evaluation - James Farmer

11:00 Break

11:15 "Reporting of Impact" - J. David Deshler

Noon	Lunch
1:00	Discussion in sub-groups on recommendations to Evaluation Team
2:00	"Comments and Other Inputs" - William Haldeman
	"Did We Hear the Feedback Right?" "What does it Mean to Us?" - The Evaluation Team
	Using "Participant Workshop Feedback" sheets
3:00	Closure

APPENDIX II

IDENTIFICATION AND USE OF KEY INDICATORS

The following Key Indicators, which were identified out of the reading of the 68 project files, from the San Francisco Workshop, from the In-process consultations with the CCHE staff and Advisory Committee, and with the National Title I staff, are thought of as intermediary, flexible indicators. They are to be used in the following ways:

(1) To help focus the content and interrelationship of the questions to be asked in field interviews of HEI and target population personnel; and

(2) To serve as organizers for the second section of the Final Report (The first section being the History and Overview of the 68 projects; the final section being based on Organizing Principles which have emerged out of examination of the data in projects.).

The currently proposed Key Indicators are as follows:

(1) Impact and Objectives;
(2) Problem Solving;
(3) Inter-Institutional and/or Inter-Agency Relationship;
(4) Alternative Funding Patterns;
(5) Organizational Development;
(6) Functions of Title I (Catalytic, bridging, finger in dike);
(7) Environmental Context and Influence on Title I;
(8) Semantics.

The kinds of questions which seem to cluster under each of these Key Indicators are as follows:

I. IMPACT AND OBJECTIVES

(1) How can we tell when we have impact on HEI; agencies; target populations?
(2) How can we clarify and make more explicit organizational and project objectives?
(3) How do we determine the most beneficial beneficiaries for the maximum impact? Who gets highest priority?
(4) By what criteria do we evaluate a Title I program for funding and refunding?
(5) How can reporting data be used as feedback for both program improvement and impact maximization?
(6) How can funding of projects which would be done anyway be eliminated or minimized?
(7) Who gets credit for what? and Who gets blamed for what errors?
(8) How much latitude of change for objectives is desirable?

IMPACT AND OBJECTIVES (Cont'd)

(9) How can fiscal and program accountability be related to each other in order to control objectives and impact and in order to produce a satisfactory critical path in a project?
(10) What should CCHE do when projects don't send in reports?

II. PROBLEM SOLVING

(1) How did problem solving in projects get done?
(2) How did or do people conceptualize the way a project is run in relation to the problem being solved?
(3) To what extent did Title I help solve various types of community problems or problems of target populations?
(4) What problems are solvable given available resources?
(5) What innovative conceptualizations have come out of the past projects?
(6) Who has the problem? Who identifies it - local or CCHE?
(7) How did objectives change during the project?

III. INTER-INSTITUTIONAL AND INTER-AGENCY RELATIONSHIPS

(1) What kinds of inter-institutional and inter-agency relationships in connection with Title I projects have the greater pay-offs? Which agencies get strengthened? Which do not and what happens?
(2) What is the unique role of Community Colleges, State Colleges, State Universities, and various types of private institutions in Title I efforts? What are the conflicts between the different institutions relating to projects?
(3) How do the projects establish and maintain a cyclical flow being HEI resources, agencies, and target populations?
    (a) How is entry established?
    (b) What is the role of Citizen participation?
(4) What is the responsibility of CCHE in setting priorities, guidelines, and target problems?
(5) How do Institutional Administrators view Title I in the context of the role of Higher Education? What differences of valuing emerge at different levels?

IV. ALTERNATIVES OF FUNDING

(1) What is the satisfactory use of Title I priorities?
(2) What types of problems can be appropriately addressed?
(3) Can RFPs be used more effectively?
(4) What is the potential role of Consortia?
(5) What are the implications of funding institutions that have received no funding in the past? (Interview administrators of Institutions that have applied and never been funded.)

V. ORGANIZATIONAL DEVELOPMENT

(1) What happens to personnel employed by Title I in terms of their career lines?
(2) How does the reward systems for such personnel operate and effect them?

V. ORGANIZATIONAL DEVELOPMENT (Cont'd)

(3) What are the different leadership styles which have been operative in Title I projects and with what effect?

VI. FUNCTIONS OF TITLE I

(1) How have projects bridged communication, information, and organization gaps and linked resources to problems?
(2) How has Title I functioned as a catalyst in establishing a cyclical flow between HEI resources, agencies, and target problems?
(3) What is the role and inter-face of Title I as a catalytic agent in community problem solving?
(4) What kind of HEI resources have been released?

VII. ENVIRONMENTAL CONTEXT AND INFLUENCE ON TITLE I

(1) How does the political climate, violence, etc. effect Title I at the CCHE, HEI, and target population levels?
(2) How do historical events such as urban violence, smog, etc., effect funding priorities?
(3) What is the most appropriate timing for attacking a problem in the light of public interest or arousal of indifference?

VIII. SEMANTICS

(1) How is the term "community service" being used?
(2) What is meant by "community development?"
(3) What is meant by "Higher Education resources?"
(4) What is meant by "problem solving?"
(5) What is "organizational development?"

Public Law 89-329
89th Congress, H. R. 9567
November 8, 1965

An Act

79 STAT. 1219

To strengthen the educational resources of our colleges and universities and to provide financial assistance for students in postsecondary and higher education.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Higher Education Act of 1965".

Higher Education Act of 1965.

TITLE I—COMMUNITY SERVICE AND CONTINUING EDUCATION PROGRAMS

APPROPRIATIONS AUTHORIZED

SEC. 101. For the purpose of assisting the people of the United States in the solution of community problems such as housing, poverty, government, recreation, employment, youth opportunities, transportation, health, and land use by enabling the Commissioner to make grants under this title to strengthen community service programs of colleges and universities, there are authorized to be appropriated $25,000,000 for the fiscal year ending June 30, 1966, and $50,000,000 for the fiscal year ending June 30, 1967, and for the succeeding fiscal year. For the fiscal year ending June 30, 1969, and the succeeding fiscal year, there may be appropriated, to enable the Commissioner to make such grants, only such sums as the Congress may hereafter authorize by law.

DEFINITION OF COMMUNITY SERVICE PROGRAM

SEC. 102. For purposes of this title, the term "community service program" means an educational program, activity, or service, including a research program and a university extension or continuing education offering, which is designed to assist in the solution of community problems in rural, urban, or suburban areas, with particular emphasis on urban and suburban problems, where the institution offering such program, activity, or service determines—

(1) that the proposed program, activity, or service is not otherwise available, and

(2) that the conduct of the program or performance of the activity or service is consistent with the institution's over-all educational program and is of such a nature as is appropriate to the effective utilization of the institution's special resources and the competencies of its faculty.

Where course offerings are involved, such courses must be university extension or continuing education courses and must be—

(A) fully acceptable toward an academic degree, or

(B) of college level as determined by the institution offering such courses.

ALLOTMENTS TO STATES

SEC. 103. (a) Of the sums appropriated pursuant to section 101 for each fiscal year, the Commissioner shall allot $25,000 each to Guam, American Samoa, the Commonwealth of Puerto Rico, and the Virgin Islands and $100,000 to each of the other States, and he shall allot to each State an amount which bears the same ratio to the remainder of such sums as the population of the State bears to the population of all States.

(b) The amount of any State's allotment under subsection (a) for any fiscal year which the Commissioner determines will not be required

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for such fiscal year for carrying out the State plan (if any) approved under this title shall be available for reallotment from time to time, on such dates during such year as the Commissioner may fix, to other States in proportion to the original allotments to such States under such subsection for such year, but with such proportionate amount for any of such States being reduced to the extent it exceeds the sum the Commissioner estimates such State needs and will be able to use for such year for carrying out the State plan; and the total of such reductions shall be similarly reallotted among the States whose proportionate amounts were not so reduced. Any amount reallotted to a State under this subsection during a year from funds appropriated pursuant to section 101 shall be deemed part of its allotment under subsection (a) for such year.

(c) In accordance with regulations of the Commissioner, any State may file with him a request that a specified portion of its allotment under this title be added to the allotment of another State under this title for the purpose of meeting a portion of the Federal share of the cost of providing community service programs under this title. If it is found by the Commissioner that the programs with respect to which the request is made would meet needs of the State making the request and that use of the specified portion of such State's allotment, as requested by it, would assist in carrying out the purposes of this title, such portion of such State's allotment shall be added to the allotment of the other State under this title to be used for the purpose referred to above.

(d) The population of a State and of all the States shall be determined by the Commissioner on the basis of the most recent satisfactory data available from the Department of Commerce.

USES OF ALLOTTED FUNDS

SEC. 104. A State's allotment under section 103 may be used, in accordance with its State plan approved under section 105(b), to provide new, expanded, or improved community service programs.

STATE PLANS

SEC. 105. (a) Any State desiring to receive its allotment of Federal funds under this title shall designate or create a State agency or institution which has special qualifications with respect to solving community problems and which is broadly representative of institutions of higher education in the State which are competent to offer community service programs, and shall submit to the Commissioner through the agency or institution so designated a State plan. If a State desires to designate for the purposes of this section an existing State agency or institution which does not meet these requirements, it may do so if the agency or institution takes such action as may be necessary to acquire such qualifications and assure participation of such institutions, or if it designates or creates a State advisory council which meets the requirements not met by the designated agency or institution to consult with the designated agency or institution in the preparation of the State plan. A State plan submitted under this title shall be in such detail as the Commissioner deems necessary and shall—

(1) provide that the agency or institution so designated or created shall be the sole agency for administration of the plan or for supervision of the administration of the plan; and provide that such agency or institution shall consult with any State advisory council required to be created by this section with respect to policy matters arising in the administration of such plan;

(2) set forth a comprehensive, coordinated, and statewide system of community service programs under which funds paid to the State (including funds paid to an institution pursuant to section 106(c)) under its allotments under section 103 will be expended solely for community service programs which have been approved by the agency or institution administering the plan;

(3) set forth the policies and procedures to be followed in allocating Federal funds to institutions of higher education in the State, which policies and procedures shall insure that due consideration will be given—

(A) to the relative capacity and willingness of particular institutions of higher education (whether public or private) to provide effective community service programs;

(B) to the availability of and need for community service programs among the population within the State; and

(C) to the results of periodic evaluations of the programs carried out under this title in the light of information regarding current and anticipated community problems in the State;

(4) set forth policies and procedures designed to assure that Federal funds made available under this title will be so used as not to supplant State or local funds, or funds of institutions of higher education, but to supplement and, to the extent practicable, to increase the amounts of such funds that would in the absence of such Federal funds be made available for community service programs;

(5) set forth such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid to the State (including such funds paid by the State or by the Commissioner to institutions of higher education) under this title; and

Records.

(6) provide for making such reports in such form and containing such information as the Commissioner may reasonably require to carry out his functions under this title, and for keeping such records and for affording such access thereto as the Commissioner may find necessary to assure the correctness and verification of such reports.

(b) The Commissioner shall approve any State plan and any modification thereof which complies with the provisions of subsection (a).

PAYMENTS

SEC. 106. (a) Except as provided in subsection (b), payment under this title shall be made to those State agencies and institutions which administer plans approved under section 105(b). Payments under this title from a State's allotment with respect to the cost of developing and carrying out its State plan shall equal 75 per centum of such costs for the fiscal year ending June 30, 1966, 75 per centum of such costs for the fiscal year ending June 30, 1967, and 50 per centum of such costs for each of the three succeeding fiscal years, except that no payments for any fiscal year shall be made to any State with respect to expenditures for developing and administering the State plan which exceed 5 per centum of the costs for that year for which payment under this subsection may be made to that State, or $25,000, whichever is the greater. In determining the cost of developing and carrying out a State's plan, there shall be excluded any cost with respect to which payments were received under any other Federal program.

(b) No payments shall be made to any State from its allotments for any fiscal year unless and until the Commissioner finds that the institutions of higher education which will participate in carrying out the State plan for that year will together have available during that year for expenditure from non-Federal sources for college and university extension and continuing education programs not less than the total amount actually expended by those institutions for college and university extension and continuing education programs from such sources during the fiscal year ending June 30, 1965, plus an amount equal to not less than the non-Federal share of the costs with respect to which payment pursuant to subsection (a) is sought.

(c) Payments to a State under this title may be made in installments and in advance or by way of reimbursement with necessary adjustments on account of overpayments or underpayments, and they may be paid directly to the State or to one or more participating institutions of higher education designated for this purpose by the State, or to both.

ADMINISTRATION OF STATE PLANS

Opportunity for hearing.

SEC. 107. (a) The Commissioner shall not finally disapprove any State plan submitted under this title, or any modification thereof, without first affording the State agency or institution submitting the plan reasonable notice and opportunity for a hearing.

Noncompliance.

(b) Whenever the Commissioner, after reasonable notice and opportunity for hearing to the State agency or institution administering a State plan approved under section 105(b), finds that—

(1) the State plan has been so changed that it no longer complies with the provisions of section 105(a), or

(2) in the administration of the plan there is a failure to comply substantially with any such provision.

the Commissioner shall notify the State agency or institution that the State will not be regarded as eligible to participate in the program under this title until he is satisfied that there is no longer any such failure to comply.

JUDICIAL REVIEW

SEC. 108. (a) If any State is dissatisfied with the Commissioner's final action with respect to the approval of its State plan submitted under section 105(a) or with his final action under section 107(b), such State may, within sixty days after notice of such action, file with the United States court of appeals for the circuit in which the State is located a petition for review of that action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Commissioner. The Commissioner thereupon shall file in the court the record of the proceedings on which he based his action, as provided in section 2112 of title 28, United States Code.

72 Stat. 941.

(b) The findings of fact by the Commissioner, if supported by substantial evidence, shall be conclusive; but the court, for good cause shown, may remand the case to the Commissioner to take further evidence, and the Commissioner may thereupon make new or modified findings of fact and may modify his previous action, and shall certify to the court the record of the further proceedings. Such new or modified findings of fact shall likewise be conclusive if supported by substantial evidence.

(c) The court shall have jurisdiction to affirm the action of the Commissioner or to set it aside, in whole or in part. The judgment of the court shall be subject to review by the Supreme Court of the United States upon certiorari or certification as provided in section 1254 of title 28, United States Code.

62 Stat. 928.

NATIONAL ADVISORY COUNCIL ON EXTENSION AND CONTINUING EDUCATION

Appointment by President.

SEC. 109. (a) The President shall, within ninety days of enactment of this title, appoint a National Advisory Council on Extension and Continuing Education (hereafter referred to as the "Advisory Council"), consisting of the Commissioner, who shall be Chairman, one representative each of the Departments of Agriculture, Commerce, Defense, Labor, Interior, State, and Housing and Urban Development, and the Office of Economic Opportunity, and of such other Federal agencies having extension education responsibilities as the President may designate, and twelve members appointed, for staggered terms and without regard to the civil service laws, by the President. Such twelve members shall, to the extent possible, include persons knowledgeable in the fields of extension and continuing education, State and local officials, and other persons having special knowledge, experience, or qualification with respect to community problems, and persons representative of the general public. The Advisory Council shall meet at the call of the Chairman but not less often than twice a year.

Duties.

(b) The Advisory Council shall advise the Commissioner in the preparation of general regulations and with respect to policy matters arising in the administration of this title, including policies and procedures governing the approval of State plans under section 105(b), and policies to eliminate duplication and to effectuate the coordination of programs under this title and other programs offering extension or continuing education activities and services.

Reports to President and Congress.

(c) The Advisory Council shall review the administration and effectiveness of all federally supported extension and continuing education programs, including community service programs, make recommendations with respect thereto, and make annual reports commencing on March 31, 1967, of its findings and recommendations (including recommendations for changes in the provisions of this title and other Federal laws relating to extension and continuing education activities) to the Secretary and to the President. The President shall transmit each such report to the Congress together with his comments and recommendations.

Compensation.

(d) Members of the Advisory Council who are not regular full-time employees of the United States shall, while serving on the business of the Council, be entitled to receive compensation at rates fixed by the Secretary, but not exceeding $100 per day, including travel time; and, while so serving away from their homes or regular places of business, members may be allowed travel expenses, including per diem in lieu of subsistence, as authorized by section 5 of the Administrative Expenses Act of 1946 (5 U.S.C. 73b-2) for persons in the Government service employed intermittently.

60 Stat. 808; 75 Stat. 339, 340.

(e) The Secretary shall engage such technical assistance as may be required to carry out the functions of the Advisory Council, and the Secretary shall, in addition, make available to the Advisory Council such secretarial, clerical, and other assistance and such pertinent data prepared by the Department of Health, Education, and Welfare as it may require to carry out its functions.

(f) In carrying out its functions pursuant to this section, the Advisory Council may utilize the services and facilities of any agency of the Federal Government, in accordance with agreements between the Secretary and the head of such agency.

RELATIONSHIP TO OTHER PROGRAMS

39 Stat. 929.
60 Stat. 775.
77 Stat. 403.
78 Stat. 802.
20 USC 801 - 811.
67 Stat. 83.

SEC. 110. Nothing in this title shall modify authorities under the Act of February 23, 1917 (Smith-Hughes Vocational Education Act), as amended (20 U.S.C. 11–15, 16–28); the Vocational Education Act of 1946, as amended (20 U.S.C. 15i–15m, 15o–15q, 15aa–15jj, and 15aaa–15ggg); the Vocational Education Act of 1963 (20 U.S.C. 35–35n); title VIII of the Housing Act of 1964 (Public Law 88–560); or the Act of May 8, 1914 (Smith-Lever Act), as amended (7 U.S.C. 341–348).

LIMITATION

"School or department of divinity."

SEC. 111. No grant may be made under this title for any educational program, activity, or service related to sectarian instruction or religious worship, or provided by a school or department of divinity. For purposes of this section, the term "school or department of divinity" means an institution or a department or branch of an institution whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects.

TITLE II—COLLEGE LIBRARY ASSISTANCE AND LIBRARY TRAINING AND RESEARCH

PART A—COLLEGE LIBRARY RESOURCES

APPROPRIATIONS AUTHORIZED

SEC. 201. There are authorized to be appropriated $50,000,000 for the fiscal year ending June 30, 1966, and for each of the two succeeding fiscal years, to enable the Commissioner to make grants under this part to institutions of higher education to assist and encourage such institutions in the acquisition for library purposes of books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, and other related library materials (including necessary binding). For the fiscal year ending June 30, 1969, and the succeeding fiscal year, there may be appropriated, to enable the Commissioner to make such grants, only such sums as the Congress may hereafter authorize by law.

BASIC GRANTS

SEC. 202. From 75 per centum of the sums appropriated pursuant to section 201 for any fiscal year, the Commissioner is authorized to make basic grants for the purposes set forth in that section to institutions of higher education and combinations of such institutions. The amount of a basic grant shall not exceed $5,000 for each such institution of higher education and each branch of such institution which is located in a community different from that in which its parent institution is located, as determined in accordance with regulations of the Commissioner, and a basic grant under this subsection may be made only if the application therefor is approved by the Commissioner upon his determination that the application (whether by an individual institution or a combination of institutions)—

(a) provides satisfactory assurance that the applicant will expend during the fiscal year for which the grant is requested (from funds other than funds received under this part) for all library purposes (exclusive of construction) (1) an amount not

APPENDIX IV

REGULATIONS

TITLE I
Higher Education Act of 1965

(Reprinted from Federal Register, Vol. 31, No. 68
Friday, April 8, 1966)

Title 45—PUBLIC WELFARE

Chapter I—Office of Education, Department of Health, Education, and Welfare

PART 173—FINANCIAL ASSISTANCE FOR COMMUNITY SERVICE AND CONTINUING EDUCATION PROGRAMS

Part 173 establishes regulations for the administration of sections 101-111, inclusive, of Title I of the Higher Education Act of 1965, Public Law 89-329, 79 Stat. 1219, 20 U.S.C. 1001.

The program described in this part is subject to the requirements of Title VI of the Civil Rights Act of 1964 (P.L. 88-352, 78 Stat. 252, 42 U.S.C. Ch. 21) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Accordingly, payments made pursuant to the regulations in this part are subject to the regulations in 45 CFR Part 80 issued by the Secretary of Health, Education, and Welfare, and approved by the President, to effectuate the provisions of section 601 of the Civil Rights Act of 1964.

Subpart A—Definitions and Program Outline

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Subpart B—State Plan: Submission, Amendments, Approvals

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173.5 Amendments to State plan.
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173.36 Interest on Federal funds.
173.37 Termination of program.

AUTHORITY: The provisions of this Part 173 issued under sec. 803(a), P.L. 89-329, 79 Stat. 1270.

Subpart A—Definitions and Program Outline

§ 173.1 Definitions.

As used in this part:

(a) "Act" means the Higher Education Act of 1965 (P.L. 89-329, 79 Stat. 1219, 20 U.S.C. 1001).

(b) "Commissioner" means the U.S. Commissioner of Education, Department of Health, Education, and Welfare.

(c) "Community service program" means an educational program, activity, or service offered by an institution(s) of higher education and designed to assist in the solution of community problems in rural, urban, or suburban areas with particular emphasis on urban and suburban problems. "Community service program" may include but is not limited to a research program, an extension or continuing education activity, or a course, provided, however, that such courses are extension or continuing education courses and are either fully acceptable toward an academic degree, or of college level as determined by the institution offering such courses.

(1) "Educational service" means an aspect of the community service program involving the resources of an institution(s) of higher education, including equipment and library materials used in support of efforts to solve community problems.

(2) "Educational research program" means an experimental activity or demonstration carried out on an objective and systematic basis using the resources of an institution(s) of higher education to identify and develop new, expanding, or improved approaches to the solution of community problems.

(3) "Extension and continuing education" refers to the extension and continuance of the teaching and research resources of an institution of higher education to meet the unique educational needs of the adult population who have either completed or interrupted their formal training. Instructional methods include, but are not limited to, formal classes, lectures, demonstrations, counseling and correspondence, radio, television, and other innovative programs of instruction and study organized at a time and geographic location enabling individuals to participate. Programs of continuing and extension education assist the individual to meet the tasks imposed by the complexities of our society in fulfilling his role in the world of work, as an informed and responsible citizen, and in his individual growth and development.

(d) "Department" means the Department of Health, Education, and Welfare.

(e) "Fiscal year" means the period beginning on the first day of July and ending on the following June 30, and is designated by the calendar year in which the fiscal year ends.

(f) "Institution of higher education" means an educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate, (2) is legally authorized within such State to provide a program of education beyond secondary education, (3) provides an educational program for which it awards a bachelor's degree or provides not less than a 2-year program which is acceptable for full credit toward such a degree, (4) is a public or other nonprofit institution, and (5) is accredited by a nationally recognized accrediting agency or association as determined by the Commissioner or, if not so accredited, is an institution whose credits are accepted, on transfer, by not less than three institutions which are so accredited, for credit on the same basis as if transferred from an institution so accredited. Such term also includes any business school or technical institution which meets the provisions of subparagraphs (1), (2), (4), and (5) of this paragraph.

(g) "Nonprofit institution" means an institution owned and operated by one or more nonprofit corporations or associations no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

(h) "School or department of divinity" means an institution, or a department or branch of an institution, whose educational program is specifically designed to prepare students to become ministers of religion, to enter upon some other religious vocation, or to teach theological subjects.

(i) "Secretary" means the Secretary of Health, Education, and Welfare.

(j) "State" includes, in addition to the several States of the Union, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, and the Virgin Islands.

(k) "State agency or institution" or "State agency" means the State agency or State institution designated or created pursuant to section 105(a) of the Act and § 173.3.

§ 173.2 Program outline.

The program described in this part shall be administered by the State agency or institution pursuant to a State plan developed and submitted through the State agency or institution and approved by the Commissioner. The State plan shall set forth a comprehensive, coordinated, and statewide system of community service programs designed to assist in the solution of community problems in rural, urban, or suburban areas (with particular emphasis on urban and suburban problems), such as, but not limited to, housing, poverty, Government, recreation, employment, youth opportunities, transportation, health, and land use, by utilizing the resources of institutions of higher education. The State plan and necessary amendments thereof, once approved by the Commissioner, shall constitute the basis on which Federal payments will be made as well as the basis for determining the propriety of expenditures by the State and participating institutions in which there is Federal participation.

Subpart B—State Plan: Submission, Amendments, Approvals

§ 173.3 State agency or institution.

(a) The State shall designate or create a single State agency or institution to develop, submit, and administer and/or supervise the administration of the State plan. The agency or institution so designated or created shall include individuals who have special qualifications or experience in working with and solving community problems, and who are broadly representative of institutions of higher education in the State, public and private, which are competent to offer community service programs. The State may, however, designate an existing State agency or institution which does not meet the above requirements, provided that (1) the State agency or institution takes such action as necessary to acquire such qualifications and to assure participation of such institutions; or that (2) the State designates or creates a State advisory council which meets the requirements not met by the designated State agency or institution to consult with the designated State agency or institution in the preparation of the State plan and necessary amendments thereto and in connection with any policy matters arising in the administration of the plan.

(b) Prior to submission of a State plan, the State shall submit to the Commissioner a satisfactory assurance and explanation regarding the basis on which the requirement of this section and section 105(a) of the Act are met. The State shall also designate the official of the State agency or institution with whom the Commissioner is to communicate for purposes of Title I of the Act.

(c) The State agency or institution shall notify the Commissioner within 15 days of changes in the composition of either the State agency or institution, or the State advisory council, if any, affecting its special qualifications with respect to solving community problems or its being broadly representative of institutions of higher education in the State, public and private, which are competent to offer community service programs.

§ 173.4 Submission of State plan and annual amendments.

(a) A State plan shall be submitted by the duly authorized officer of the State agency or institution for approval by the Commissioner. For the fiscal year 1966, the information required by § 173.12 shall be submitted with the original State plan. The State plan must be amended prior to September 1, 1966, for the fiscal year 1967 and thereafter prior to the commencement of each fiscal year for which funds are requested, in order that the State plan will currently set forth the information required by § 173.12. This amendment shall be signed and certified in the same manner as the original plan submitted and shall become effective upon approval by the Commissioner. (For procedure on other amendments, see § 173.5.)

(b) Notwithstanding the approval of a State plan during any prior year, unless and until the annual amendment has been submitted by the State agency or institution and approved by the Commissioner there is no basis upon which new commitments may be made by the State agency.

§ 173.5 Amendments to State plan.

In addition to the annual amendment required under § 173.4, the State plan shall be appropriately amended whenever there is any material change in the designation of the State agency, the content or administration of the State plan, or when there has been a change in pertinent State law. Such amendment shall clearly indicate the changes and shall be signed and certified in the same manner as the original plan submitted and shall become effective upon approval by the Commissioner.

§ 173.6 Approval of State plan; noncompliance; judicial review.

(a) The Commissioner shall approve any State plan or amendment thereof which complies with the provisions set forth in the Act and this part. (For effective date of State plan, see § 173.24.) No plan, or amendment thereof, shall be finally disapproved until the State agency or institution submitting the plan is afforded reasonable notice and opportunity for a hearing.

(b) Where the Commissioner, after giving reasonable notice and opportunity for a hearing to the State agency or institution administering a State plan approved under section 105(b) of the Act, finds that (1) the State plan has been so changed that it no longer complies with any provision of section 105(a) of the Act, or that (2) in the administration of the plan there is a failure to comply substantially with any such provision, the Commissioner shall notify the State agency that the State is no longer regarded as eligible to participate in the program until the Commissioner is satisfied that there is no longer any such failure to comply.

(c) Final actions of the Commissioner with respect to approval of a State plan or amendment thereto, or changes in or noncompliance with an approved State plan or amendment thereto are subject to judicial review, pursuant to section 108 of the Act.

§ 173.7 Ineligible programs.

No payment may be made from a State's allotment under this part for (a) any community service program which relates to sectarian instruction or religious worship or (b) any community service program which is provided by a school or department of divinity. An institution of higher education which has a school, branch, department or other administrative unit within the definition of "school or department of divinity" as set out in § 173.1(h), is not precluded for that reason from participating in the program described in this part, if the community service program is not offered by that school, branch, department, or administrative unit and, as in all other cases, the community service program is not related to sectarian instruction or religious worship.

§ 173.8 Relation to other Federal programs.

Nothing in this part shall be construed to mean that a proposed program shall be excluded from participation on the basis that it would also be eligible to receive financial assistance under another Federal program.

Subpart C—State Plan Provisions

§ 173.9 Administrative information.

The State plan shall contain a statement of the name of the designated or created State agency or institution and of the official to whom communications shall be directed; and an assurance that the agency or institution so designated or created shall be the sole agency for administration of the plan or for supervision of the administration of the plan, and that such agency or institution shall consult with any required State advisory council with respect to policy matters arising in the preparation and administration of the plan.

§ 173.10 Policies and procedures for selection of community problems.

The State plan shall contain a general statement setting forth the policies and procedures which will be followed by the State agency in selecting those community problem(s) or specific aspects thereof for the solution of which Federal funds allotted under this program will be used. The statement shall describe any general methods and/or criteria which the State agency has determined will be used in making such selection(s).

§ 173.11 Policies and procedures for selection of institutions.

The State plan shall contain a statement of the policies and procedures to be used in selecting the institution(s) of higher education for participation under the State plan. This statement shall describe the policies and procedures to be used in connection with the review of applications submitted by institutions of higher education interested in participating in this program, and shall insure that adequate notice of the selected community problem(s) for the solution of which financial assistance under this program shall be used, will be given to institution(s) of higher education which might qualify for participation. The State agency or institution shall indicate the criteria which will be used in selecting institutions of higher education for participation and the consideration which will be given to the following:

(a) Whether the program, service, or activity proposed to be undertaken by an institution of higher education is specifically designed to directly assist in the solution of urban, rural, or suburban problems with special emphasis upon urban and suburban problems;

(b) Whether the relative capacity and willingness of the particular institution(s), public or private, will be utilized to provide effective community service programs;

(c) Whether the program, service, or activity will effectively utilize the special resources of the institution(s) of higher education and its faculty;

(d) Whether the program, service, or activity will be consistent with the overall educational program of the institution(s) of higher education;

(e) Whether a single community service program will be undertaken by two or more institutions of higher education within the State or by or with one or more institutions in other States; and

(f) Whether the results of periodic, objective and systematic evaluations of the programs, services, and activities will be considered in the light of information regarding current and anticipated community problems.

§ 173.12 Annual program plan.

(a) The annual program plan shall be submitted as an amendment on an annual basis as required under § 173.4.

(b) The annual program plan submission shall contain a statement describing the specific aspects of the comprehensive, coordinated, and statewide system of community service programs for which financial assistance is requested, and the basis for the selection of the community service programs. The description of the method followed by the State agency in determining the community problem(s) or aspects thereof to be solved shall indicate that, and the degree to which:

(1) The State agency has consulted with representative community leaders, associations, and organizations, and with representatives of institutions of higher education;

(2) Due consideration has been given to the existence of other federally financed programs dealing with similar and other community problems in the State and coordination with those programs, particularly in determining priorities of problems;

(3) Due consideration has been given to the resources of institutions of higher education especially relevant or adaptable to develop and carry out community service programs related to the community problems selected;

(4) Due consideration has been given to the relationship of the aspect of the community problem(s) selected for solution to other significant community problems in the State; and

(5) Other criteria have been used in selecting community service problems to be included under the program.

(c) In describing the particular community problem(s) and the aspects thereof that the State will attempt to solve, the State plan shall indicate, specifically, the part of the overall problem(s) with which each particular program will be concerned; the scope, prevalence, complexity, duration, and other appropriate specific aspects of the problems; and the relationship between the types of activities proposed and similar tyes of existing or contemplated activities in the State. The statement shall also indicate whether the problem(s) and specific aspects thereof exist in all types of communities or whether they are of general significance to the State as a whole although not specifically manifested in all communities thereof. The statement shall also indicate the approximate amount from the State's allotment that the State agency estimates will be required in order to carry out each type of program which will be undertaken in attempting to solve these problems.

(d) As an alternative, if a State has determined the programs, activities, and services which will be undertaken pursuant to its plan to assist in the solution of the community problems selected as part of a comprehensive, coordinated, and statewide system of community service programs, it may set forth such programs, activities, and services in detail and cost estimates for each, in lieu of the descriptions required under the above paragraph.

(e) If a State indicates a desire to solve community problems other than those possible under its allotment it may indicate such problems with the same specificity as given those presently to be undertaken and give the priority of importance and the basis therefor together with budgetary estimates of each program, service, or activity. Such programs, services, and activities will be considered for reallocation of funds as provided for under section 103(b) of the Act and § 173.34.

§ 173.13 Fiscal assurances.

The State plan shall contain:

(a) A statement of the policies and procedures designed to assure that Federal funds allotted to the State for the program described in this part will not be used to supplant State or local funds, or funds of institutions of higher education but to supplement and, to the extent practicable, to increase the amount of such funds that would otherwise be made available for community service programs.

(b) A statement of assurance that the State agency will, prior to approval of any community service program under the plan, provide the certification required under § 173.22.

§ 173.14 Fiscal procedures.

The State plan shall contain:

(a) A statement setting forth such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid to the State, including such funds paid by the State to institutions of higher education. Such procedures shall be in accordance with applicable State law and regulations which shall be set forth in the plan or an appendix thereto and shall assure that accounts and supporting documents relating to any program involving Federal financial participation shall be adequate to permit an accurate and expeditious audit of the program.

(b) A statement assuring that all expenditures of institutions of higher education claimed for Federal financial participation or matching purposes or for any other purpose relevant to the program described in this part will be audited either by the State or by appropriate auditors; and indicating, if the audit is to be conducted at the institutional level, how the State agency will secure information necessary to assure proper use of funds expended under the Act by such institutions of higher education.

§ 173.15 Institutional assurance.

(a) The State plan shall contain a statement of assurance that, prior to approval of any community service program under the plan, each institution of higher education proposing such community service program shall submit to the State agency a certification:

(1) That the proposed program is not otherwise available;

(2) That the conduct of the program or performance of the activity or service is consistent with the institution's overall educational program and is of such a nature as is appropriate to the effective utilization of the institution's special resources and the competencies of its faculty; and

(3) That, if courses are involved, such courses are extension or continuing

education courses and (i) that they are fully acceptable toward an academic degree, or (ii) that they are of college level as determined by the institution offering the courses.

(b) Copies of the certification required by paragraph (a) of this section shall be maintained by the State agency and made available to the Commissioner upon request.

§ 173.16 Policies and procedures for State agency administrative review and evaluation.

The State plan shall contain a statement of the policies and procedures to be followed by the State agency in making periodic, systematic and objective administrative reviews and evaluations in order to evaluate the status and progress of particular programs in terms of the annual program proposals and overall objectives stated in the plan.

§ 173.17 Transfer of funds to participating institutions.

The State plan shall contain a statement of the policies and procedures to be followed in determining, for each institution selected for participation under the plan, whether payment of funds shall be made (a) as a reimbursement for actual expenditures; (b) as an advance prior to actual expenditures; or (c) a combination of reimbursements and advances. The State plan shall provide that when, under any payment procedure, the State agency determines that an overpayment has been made, adjustments shall be made by repayment or by setoff against payment thereafter.

§ 173.18 Accounting bases for expenditures.

(a) *State level expenditures.* The State plan shall specify the particular accounting basis (cash, accrual, or obligation) used by the State agency and shall set forth the relevant State laws, rules, and regulations. (Accounting practices relating to payments to participating institutions are described in § 173.23(b).)

(b) *Participating institutions expenditures.* The State plan shall provide that the State agency will be responsible for ascertaining the accounting practice of each institution at the time of its selection for participation under the State plan and for maintaining such information in the State agency.

§ 173.19 Certification of State plan.

(a) The State plan shall include as a part or appendix thereto:

(1) A certification by the official of the State agency authorized to submit the State plan that the plan (or amendment) has been adopted by the State agency and will constitute the basis for operation and administration of the programs described therein;

(2) A certification by the appropriate State legal officer that the State agency named in the plan is the sole State agency for the preparation and administration or supervision of the administration of the plan, and has authority under State law to develop, submit, and administer or supervise the administration of the plan and that all the provisions contained in the plan are consistent with State law.

(b) Citations to, or copies of, all relevant statutes, regulations, court decisions, and directly pertinent policy statements or interpretations of law by appropriate State officials shall be furnished as part of the plan.

§ 173.20 Reports.

The State plan shall provide that the State agency will make and submit to the Commissioner the reports listed below in accordance with procedures established by the Commissioner; and that the State agency will maintain such records, afford such access thereto, and comply with such other provisions as the Commissioner may find necessary to substantiate and/or verify the information contained in the reports.

(a) An estimated budget itemizing the amount of funds which have or will be required by the State agency for developing and administering the State plan, to be submitted at the time of the submission of the original State plan and thereafter concurrently with the annual amendment of the State plan;

(b) A detailed statement, describing the proposed operation of each community service program, to be submitted immediately upon approval of said program by the State agency;

(c) The certification required under § 173.22;

(d) A progress report, containing an evaluation of each approved community service program and indicating total expenditures incurred in each such program as of the date of evaluation, to be submitted on a semiannual basis;

(e) A report of the total amount charged against the State's allotment during a particular fiscal year, to be submitted at the close of the fiscal year;

(f) An annual report containing an evaluation of the State plan program and its administration in terms of the plan provisions and program objectives;

(g) A copy of any independent evaluations of the State plan, its program, objectives and/or administration, or of any other nature, if obtained by any State, State agency or institution, or State advisory council; and

(h) Any other reports containing such information in such form as the Commissioner may, from time to time, require in order to carry out his functions under the Act.

Subpart D—Federal Financial Participation

§ 173.21 Federal financial participation—general.

(a) The Federal Government will pay from each State's allotment an amount equal to 75 percent for the fiscal years ending June 30, 1966, and June 30, 1967, and 50 percent for the next 3 succeeding fiscal years, of the total amount expended (on eligible costs as defined in § 173.27) by the State agency and the institutions participating under the State plan, except that, in calculating such total amount, there shall be excluded any amounts received for the same purpose under any other Federal program and the matching funds required therefor. Where fees, if any, exceed the non-Federal share of the cost of the program, as determined above, the Federal share shall be reduced by the amount of this excess.

(b) No payment for any fiscal year will be made, however, with respect to expenditures for developing or administering the plan by the State agency which exceed 5 percent of the total eligible costs for that year or $25,000, whichever is greater.

§ 173.22 Required certification by State agency.

As a condition to receipt of any payments under the program described in this part, the State agency must submit to the Commissioner, both at the time that it initially determines the institutions of higher education to participate under the State plan, and each time that it approves a new program involving an institution not previously participating, a certification that all institutions participating under the plan will together have available during that year from non-Federal sources for expenditure for extension and continuing education programs not less than the total amount actually expended by those institutions for extension and continuing education programs from such sources during the fiscal year 1965, plus an amount which is not less than the non-Federal share of the costs of community service programs for which Federal financial assistance is requested. The certification shall also state that the State agency has obtained all information including records documenting expenditures necessary to make the above-noted finding and that such documents shall be kept by the State agency and made available to the Commissioner upon request. The certification required under this section shall constitute the basis for the finding required to be made by the Commissioner under section 106(b) of the Act.

§ 173.23 Fiscal year to which an expenditure is chargeable.

Allotments to a State under this part are made with respect to a fiscal year commencing on July 1 and ending on the following June 30.

(a) Except as provided in paragraph (b) of this section, expenditures by the State agency shall be charged against the allotment for the fiscal year in which the expenditure was incurred as determined by State law governing the accounting practices by the State agency.

(b) The amount of Federal financial participation in any community service program approved under a State plan shall be charged against the allotment for the fiscal year in which the approval was made and was necessary in order to activate the program in due course, regardless of whether the actual payments to, or expenditures by, the participating institution are made prior or subsequent to the close of that fiscal year.

§ 173.24 Effective date for allowable expenditures.

Except for expenditures by the State agency for development and administration of the State plan or annual amendment thereof, Federal financial participation is made only with respect to amounts expended under an approved State plan. For the purpose of this part, and absent any contrary notification, the date on which the original State plan or subsequent annual amendments thereto shall be considered to be in effect is the date of approval by the Commissioner. The State agency will be apprised of this effective date in the notice of approval sent to the State agency by the Commissioner.

§ 173.25 Proration of costs.

Federal financial participation is available only with respect to that portion of any eligible costs as defined in § 173.27, attributable to the development and administration of a State plan or the carrying out of any community service program approved thereunder. The State agency and individual participating institutions must maintain records to substantiate the proration of expenditures for all eligible costs.

§ 173.26 Deviation from estimates.

Expenditures will not be considered ineligible for Federal financial participation solely because of minor deviations from the estimate of the amount or nature of the expenditure as set forth in the plan or in required reports submitted thereafter, provided that the expenditures in question are made in connection with a program under an approved State plan, in accordance with the Act and this part, and that the total Federal share under the plan will not exceed the State's allotment.

§ 173.27 Eligible costs.

(a) *State level.* To the extent that they are directly attributable to the development and administration of the State plan or annual amendment thereto, the State agency may receive an amount, not to exceed 5 percent of the total eligible costs for the year for which payment is requested, or $25,000, whichever is greater, to cover the cost of:

(1) Salaries of the staff, both professional and clerical, including all amounts deducted or withheld as contributions to retirement, health, or other welfare benefit funds maintained for employees of the State agency;

(2) Employer's contributions to retirement, health, workmen's compensation, and other welfare funds maintained for employees of the State agency;

(3) Consultants' fees in accordance with State standards;

(4) Expenses connected with committees, workshops, and conferences;

(5) Travel expenses of staff and consultants thereto, including advisory council members. Travel expenses are limited by travel regulations pertaining to State employees and those considered working with or consulting with the State;

(6) Mailing, telephone, and other communications costs;

(7) Supplies, printing, and printed materials;

(8) Rental of, or, where economically justified, purchase of office equipment and equipment necessary for developing and administering the State plan; and

(9) Rental of office space (including the costs of utilities and janitorial services) in privately or publicly owned buildings if (i) the State agency will receive benefits during the period of occupancy commensurate with such expenditures, (ii) the amounts paid by the State agency are not in excess of comparable rental in the particular locality, (iii) the expenditures represent an actual cost to the State agency, and (iv) in the case of publicly owned buildings, like charges are made to other agencies occupying similar space.

(b) *Participating institutions of higher education*—(1) *Direct costs.* To the extent directly attributable to the carrying out of a community service program, a participating institution of higher education may treat as direct costs:

(i) Personnel costs, both professional and clerical, regular staff and consultants, including all amounts deducted, withheld, or contributed to retirement, health, or other welfare benefit funds maintained for employees of the participating institutions;

(ii) Material costs, where materials are directly consumed or expended in carrying out the program, including the cost of supplies, mailing, and printing;

(iii) Travel expenses of institutional personnel and consultants, in accordance with institutional regulations or policies; and

(iv) Rental of, or, where economically justified, purchase of specialized program equipment which is not otherwise available at the institution.

(2) *Indirect costs.* A participating institution may treat as indirect costs an amount which is computed on the basis of the principles for indirect cost determination set forth in Bureau of the Budget Circular A-21 as amended.

§ 173.28 Fiscal audits.

The Department will audit the records relating to the expenditures by the State agency in order to determine whether the State agency has properly accounted for Federal funds. The State agency shall be responsible for the audit of funds expended by the institutions of higher education participating in the program.

§ 173.29 Retention of records.

(a) *General rule.* The State agency shall provide for keeping accessible and intact all records supporting claims for Federal grants, or relating to the accountability of the State agency or participating institution of higher education for expenditure of such grants or to the expenditure of matching funds, until the State agency is notified that such records are not needed for program administration review or of the completion of the Department's fiscal audit, whichever first occurs.

(b) *Questioned expenditure.* The records involved in any claim or expenditure which has been questioned shall be maintained until necessary adjustments have been reviewed and cleared by the Department.

§ 173.30 Disposition of equipment.

(a) The Federal share of the cost of any single item of equipment initially costing $100 or more in which the Federal Government has participated (whether acquired with funds derived from Federal grants or from matching funds) which ceases to be used in the community service program, or in connection with the administration of the plan under which it was purchased, or is on hand on the termination date of the community service program for which it was purchased or the program described in this part, shall be accounted for by one of the following methods:

(1) *Similar program usage.* An item may be used, without adjustment of accounts, in any other community service program (whether or not receiving financial assistance under this program) provided, however, that during such use no charge for depreciation, amortization or other use shall be made against any existing or future Federal grant or contract. An item may be sold and the Federal share of the net proceeds of sale credited to the institution's or State agency's account for program use.

(2) *Nonprogram usage or disposition; crediting of proceeds or value.* (i) If, during the period of its useful life, an item is sold or transferred for other than program use, or, if used or disposed of in any other manner, the Federal share of the proceeds or of the fair market value on the (*a*) date of sale, (*b*) date on which the item ceased to be used in the program, or (*c*) date of program termination, whichever first occurs, shall be credited to or paid to the United States.

(ii) The Commissioner, however, in his discretion, may waive credit or payment to the United States where equipment remains on termination of the program described in this part.

(iii) To the extent an item purchased from grant funds has been used for credit or "trade-in" on the purchase of new items of equipment, the accounting obligation shall apply to the same extent to such new items.

(b) Inventories and records are required to be kept for all items of equipment, initially costing $100 or more in which the Federal Government has participated (whether acquired with funds derived from Federal grants or from matching funds). The State educational agency shall maintain records sufficient for a determination as to whether the use of such equipment continues to be for a purpose provided for under Title I of the Act, or, if not, records showing its disposition.

Subpart E—Payment Procedures

§ 173.31 Federal payment to a State.

(a) Payments to a State under this part may be made directly to the State agency, or, upon special request of a State agency, to one or more participating institutions of higher education.

(b) Payments will be made only after approval of the State plan and any required annual amendments thereto, and receipt of the certification required under § 173.22. Payments may be made in equal or graduated installments either in advance or by way of reimbursement on the basis of estimates contained in the

State plan or amendments thereto, and any other reports required to be submitted under section 105(a)(6) of the Act or § 173.20. Necessary adjustments will be made at the time of each payment on account of overpayments or underpayments for any prior period. Attention is directed to §§173.32 and 173.36.

§ 173.32 Continuing authorization of payment.

(a) Until the State agency is notified by the Commissioner that (1) a redetermination has been made of the amount to which a State is eligible or (2) a finding has been made pursuant to section 107(b) of the Act and § 173.6 that the State is no longer eligible to participate in this program, the Commissioner shall be deemed to have given implied authorization of further payments under this part.

(b) Neither the approval of the State plan, the issuance of a Letter of Credit, the approval of withdrawals thereunder, nor the making of any direct payments to the State or participating institutions shall be deemed to waive the right or duty of the Commissioner to withhold funds by reason of the failure of the State to observe any Federal requirements set out in the Act or regulations related thereto or any other relevant Federal Act or Order, either before or after such administrative action respecting payment.

§ 173.33 Adjustments.

The State agency in its maintenance of accounts, records, and reports shall make promptly any necessary adjustments to reflect refunds, credits, underpayments, or overpayments, as well as any adjustments resulting from Federal or State administrative reviews and audits. Such adjustments shall be set forth in the State's financial reports filed with the Commissioner.

§ 173.34 Reallotment.

(a) In order to provide a basis for reallotment by the Commissioner pursuant to section 103(b) of the Act, each State agency will submit, upon request of the Commissioner by such date(s) as the Commissioner may specify, a statement showing all estimated anticipated needs during the remainder of the current fiscal year for carrying out the State plan. The statement will contain estimates based on the estimated costs of completing community service programs already approved without expansion or other modification as well as the costs of expanding or modifying already approved community service programs and approving new community service programs which will further carry out and develop the objectives of the plan. The Commissioner may also request any additional information on such reports as he desires for the purpose of making reallotment.

(b) Subsequent to the review of the above described required reports and prior to the date fixed by the Commissioner for reallotment of funds, the Commissioner will notify each State agency affected by reallotment of his determination respecting the State's allotment. The Commissioner shall thereafter either modify the amount authorized for payment to the State or if an overpayment has already been made, direct the State to return to the Commissioner whatever amount the Commissioner determines the State does not require.

§ 173.35 Interstate transfer of allotments.

Where two or more States agree that a portion of the Federal allotment of one State be added to and combined with that of the other State, there shall be submitted to the Commissioner, as part of both State plans or as amendments thereto, the following information:

(a) A request that a specified amount of one State's allotment be transferred to the other State for purposes described therein;

(b) A description of the community service program(s) for which the funds will be used by the recipient State;

(c) A statement of the total amount to be expended for such program(s) and the amount of the non-Federal share thereof;

(d) A statement indicating how the requirement for matching funds and/or maintenance of effort will be assumed by either or both institutions;

(e) A statement showing how such program(s) will assist in the solution of community problems of concern to both participating States; and

(f) A certified statement from the recipient State agency that it will use the funds for the purposes identified by the State requesting such transfer.

§ 173.36 Interest on Federal funds.

In the event that any interest is earned on Federal funds, it shall be credited to the United States. The State agency shall submit as a part of each annual financial report a statement showing the amount of interest earned on Federal funds during that fiscal year. Such interest earnings will be considered in the adjustment of the next payment due. Where, however, an institution or State will not participate in the program during a subsequent period, such interest shall be refunded to the Commissioner.

§ 173.37 Termination of program.

Where any State desires not to participate in this program during a subsequent year, or upon termination of the program described in this part, the State shall refund to the Commissioner any overpayments which have been made either to the State agency or to a participating institution.

[SEAL] HAROLD HOWE II,
Commissioner of Education.

Approved: April 5, 1966.

JOHN W. GARDNER,
*Secretary of Health,
Education, and Welfare.*

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